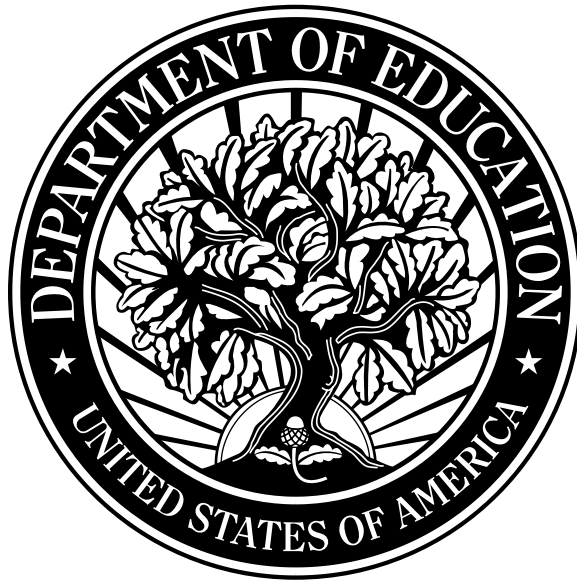


State Vocational Rehabilitation Services and State Supported Employment Services Programs

Federal Fiscal Year 2019 Monitoring and Technical Assistance Guide



**U.S. Department of Education
Office of Special Education and
Rehabilitative Services
Rehabilitation Services Administration
State Monitoring and Program Improvement
Division**

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I. OSERS Mission and the Scope of Review

A. OSERS Mission

The mission of the Office of Special Education and Rehabilitative Services (OSERS) is to improve early childhood, educational, and employment outcomes and raise expectations for all people with disabilities, their families, their communities, and the nation. In carrying out its mission, OSERS has made the commitment to partner with individuals with disabilities, parents, families, and diverse stakeholders; support States in their work to raise expectations and improve outcomes for individuals with disabilities; and provide States with the flexibility to implement their programs within the constructs of the law. Furthermore, OSERS will rethink anything and everything to ensure that it is in the best position to achieve its mission. Within OSERS, the Rehabilitation Services Administration (RSA) is committed to these values as it partners with State vocational rehabilitation (VR) agencies in the conduct of monitoring to foster continuous improvement in outcomes for individuals with disabilities. Section 107(a) of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by Title IV of the Workforce Innovation and Opportunity Act (WIOA), requires the Commissioner of RSA to conduct annual reviews and periodic on-site monitoring of programs authorized under Title I of the Rehabilitation Act to determine whether a VR agency is complying substantially with the provisions of its State Plan under Section 101 and the State Plan Supplement under Section 606 of the Rehabilitation Act and with the evaluation standards and performance indicators established under Section 106 of the Rehabilitation Act, which are subject to the performance accountability measures in Section 116(b) of WIOA and 34 C.F.R. part 361, subpart E. To fulfill, in part, this requirement, RSA has developed this Monitoring and Technical Assistance Guide (MTAG) to explain the process through which RSA will provide technical assistance to, and review the progress of, VR agencies in improving the quality of services for, and employment outcomes achieved by, individuals with disabilities through the State Vocational Rehabilitation Services program (VR program), and the State Supported Employment Services program (Supported Employment program), and complying with requirements under the Rehabilitation Act.

B. Scope of Review

1. General

RSA's State Monitoring and Program Improvement Division (SMPID) began its review of State VR agencies in Federal fiscal year (FFY) 2017 and plans to complete either on-site or off-site reviews of all VR agencies during the six-year monitoring cycle (FFY 2017 through FFY 2022).¹

The specific programs covered by this MTAG include—

- The State VR program, established under Title I of the Rehabilitation Act; and
- The State Supported Employment program, authorized under Title VI of the Rehabilitation Act.

¹ "States," as referenced in this MTAG encompasses the territories.

2. Focus Areas

In its monitoring of the State VR and Supported Employment programs, SMPID will address four focus areas when reviewing the performance and compliance of each agency during on-site reviews. These focus areas cover—

- Performance of the VR and Supported Employment programs, including how the VR agency is implementing strategies to achieve continuous improvement in competitive integrated employment outcomes;
- Implementation of pre-employment transition services for students with disabilities that result in higher expectations and improved outcomes;
- Financial management of the VR and Supported Employment programs that supports improved service delivery to and outcomes for individuals with disabilities; and
- Progress of VR agencies toward implementing joint requirements under Title I of WIOA governing unified and combined planning, performance accountability, and the one-stop service delivery system.

Generally, RSA will review only the first three focus areas when conducting off-site reviews.

The nature and scope of each focus area, along with the activities to be conducted under each, is contained in Sections III, IV, V, and VI, respectively, of this MTAG. As a result of the activities reviewed in each of the focus areas, teams may identify—

- Strategies, including innovative practices, used by VR agencies to improve competitive integrated employment outcomes, including supported employment outcomes, and to provide pre-employment transition services to students with disabilities;
- Recommendations leading to continuous improvement in the outcomes achieved by individuals with disabilities and engagement with employers through the VR and Supported Employment programs;
- Compliance findings and corrective actions to improve processes and procedures; and
- Areas of technical assistance that will assist and support VR agencies in rethinking approaches and applying flexibility to improve performance.

3. Other Areas of Review

In general, the review team will conduct monitoring activities related only to those areas of review described above in B.2. However, a team may, after consulting with the VR agency and SMPID management, engage in further monitoring activities in areas not covered above, if such areas are of significant concern, and the VR agency would benefit from technical assistance through the monitoring process.

C. Technical Assistance

To ensure VR agencies and their educational partners receive quality and timely technical assistance services, RSA consults with the Office of Special Education Programs (OSEP) in OSERS, and with relevant RSA and OSEP-funded training and technical assistance centers and demonstration projects regarding the provision of services for students with disabilities. The

purpose of this coordinated technical assistance service delivery model is to assist VR agencies and their partners in providing VR and other services to individuals with disabilities. Each technical assistance center focuses its efforts on a specific set of topics designed to provide universal, targeted, and intensive technical assistance to maximize the transition, employment, independence, and integration into the community of individuals with disabilities.

The SMPID review team will share with the RSA Training and Service Programs Division (TSPD) responsible for the administration of the technical assistance centers, identified technical assistance needs of the VR agency and, as applicable, feedback from the agency about the quality of the technical assistance provided by these centers. In turn, TSPD project officers will share information with the SMPID review team about any intensive and targeted technical assistance provided by the technical assistance centers to the VR agency. A VR agency receiving intensive or targeted technical assistance may, at its discretion and in coordination with the technical assistance centers, involve center staff in the monitoring process.

II. Overview of the Process

A. Accountability Model

1. Background

SMPID developed an accountability model to carry out monitoring activities while increasing the effective use of its resources to administer the VR program. The model is consistent with the guidelines set forth in the Department of Education’s Directive titled “Guide for Managing Formula Grant Programs,” dated August 26, 2016.

2. FFY 2019 Accountability Model

The FFY 2019 accountability model is comprised of the following four programmatic and two fiscal factors—

- State percentage of individuals determined eligible for the VR program who received VR services;
- State percentage of individuals determined eligible for the VR program who received VR services and achieved competitive integrated employment outcomes;
- State median weekly earnings of individuals who received VR services and achieved competitive integrated employment outcomes;
- State percentage of eligible individuals who received VR services and who achieved measurable skill gains;
- Amount of the State formula award allotment for the VR program as a percentage of the total Federal appropriation for the VR program; and
- State percentage of the required non-Federal share (match) provided for the VR program based upon the State’s formula award allotment.²

B. Selection of States

During each FFY of the monitoring cycle, SMPID will select, using an accountability model, State VR agencies for either on-site or off-site monitoring (see Appendix A).

² All data are computed on a State basis to align the RSA accountability model with the principles in Title I of WIOA, under which core partners in the workforce development system, including VR agencies, will be required to develop performance targets and report the Annual State Performance Report at the State level. This method ensures comparability between States with one combined agency and States with more than one VR agency (general and blind). In making the calculations, SMPID will review data reported on RSA collection instruments, including the Case Service Report (RSA-911) and the Financial Status Report (SF-425) for the most recent period for which complete data are available. To ensure the completeness and reliability of the data submitted by all VR agencies, SMPID staff will conduct edit checks on the data reported through the RSA collection instruments. Further details about the Accountability Model can be found in Appendix A.

SMPID will assign each State VR agency an overall accountability score of one to five and will schedule those States with higher overall accountability scores for monitoring earlier in the monitoring cycle (FFY 2017 through FFY 2022). As these State VR agencies indicate the need for more immediate technical assistance and support, SMPID may monitor a VR agency more than once during the monitoring cycle. SMPID may monitor State VR agencies with lower scores through the conduct of off-site reviews, as they demonstrate less need for immediate technical assistance.

To the extent possible when applying the accountability model, SMPID will choose from general and blind or combined VR agencies as appropriate from across the geographic regions of the United States. If a State has established a general and a blind VR agency for providing VR services, SMPID will review both VR agencies in the same fiscal year. In such instances, SMPID will issue a separate report to each agency.

Circumstances may require SMPID to provide additional technical assistance to meet specific and pressing VR agency needs as opposed to a second full monitoring review. These circumstances include, but are not limited to, requests from VR agencies for more immediate assistance, identification of issues requiring prompt attention from SMPID, or the adverse impact on a VR agency's operations resulting from natural disasters.

C. Duration of the Monitoring Process

SMPID will begin the monitoring process for the selected VR agencies following the issuance of the MTAG for each FFY and conclude all on-site visits and off-site reviews by September 30. However, the monitoring process for each VR agency under review is not intended to last the length of the entire fiscal year. The review team and the VR agency will discuss and agree upon mutually convenient times to begin the monitoring process. The process generally includes preparation and planning activities, an on-site visit or off-site review, and the development and issuance of draft and final monitoring reports.

D. Stages of the On-Site Monitoring Process

1. Planning and Preparation

The RSA review team will contact each VR agency selected for on-site monitoring. The monitoring team, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to all focus areas in preparation for the on-site visit, which typically lasts one week.

The review team, in coordination with the VR agency will—

- Introduce the RSA team responsible for the review, including the team lead, and identify the VR agency staff who will be involved in the review;
- Select dates for the on-site visit;
- Identify diverse stakeholders and partners to be invited to participate in the review, as appropriate, including State Rehabilitation Council (SRC) members, the Client Assistance Program, community rehabilitation programs (CRPs), employers, workforce

development partners, educational agencies, and VR agency consumers and their representatives; and

- Determine the involvement of representatives of the technical assistance centers in the review and notify them of the review schedule.

Through a series of scheduled teleconferences, the review team will—

- Discuss the monitoring process and the substance of the focus areas included in this MTAG with VR agency management, and progress made related to previous findings relevant to the scope of the review;
- Discuss and identify the VR agency's technical assistance needs and determine how and when they will be addressed;
- Gather information pertinent to the focus areas of the review from representatives of the VR agency, SRC and Client Assistance Program, as appropriate; and
- Develop the agenda with VR agency management and personnel.

The review team will also review documents provided by the VR agency in accordance with the document request related to each focus area prior to the on-site visit (Appendix B). Specifically, the review team will use the information obtained from these documents, analyses of programmatic and fiscal data, and the teleconferences described above, to identify, in collaboration with the VR agency, on-site activities that will lead to a productive review.

2. On-site Activities

The review team will schedule the on-site visit with each VR agency, accommodating as much as possible the schedules of VR agency management and personnel. While all team members will actively participate in the review, the on-site review team will engage in a variety of activities, including, but not limited to—

- An entrance meeting to introduce review team participants and VR agency management and personnel, and to review the on-site monitoring agenda;
- Activities and discussions with key personnel about the focus areas ;
- The review of policies, procedures, practices, or innovative strategies with key personnel related to the focus areas;
- A service record review;
- The provision of technical assistance; and
- An optional, wrap-up meeting to discuss the next steps in the process, schedule any follow-up teleconferences or activities, and solicit input and feedback from VR agency management and personnel and other participants in the review concerning the monitoring process and on-site activities.

On-site activities may include site visits to schools, CRPs, or other area offices. These visits will generally occur within the surrounding geographic area of the State capitol, or the city in which the VR agency's primary administrative office is located.

The review team or the VR director may invite VR agency management and personnel, the leadership of the designated State agency (DSA), as applicable, and the chairperson or a

representative of the SRC to participate in both the entrance and, if one is scheduled, the wrap-up meeting.

Individuals with whom the review team may engage in discussions related to the focus areas in during the on-site visit may include—

- VR agency supervisors and counselors;
- State educational agency (SEA) and local school district staff responsible for providing VR services to students with disabilities, particularly those students receiving pre-employment transition services;
- The DSA director;
- Other staff from the DSA responsible for fiscal or administrative oversight;
- Commissioners of agencies for the blind or other stand-alone VR agencies;
- Representatives of CRPs, specifically those contracted to provide pre-employment transition services to students with disabilities;
- Workforce development partners and employers;
- VR agency consumers and their families, as appropriate, and other stakeholders; and
- State auditors.

3. Follow-up Activities

After the on-site visit, the review team may require further documentation from the VR agency to supplement information obtained prior to or during the visit. Additional teleconferences may be necessary to clarify any outstanding questions or concerns the team has or to gather further details about a particular issue.

Prior to the transmittal of the draft report, the review team will conduct a teleconference with the VR agency and other appropriate stakeholders to discuss draft program and fiscal observations and findings. Findings and other information contained in the draft report may require review by the Department's Office of the General Counsel, other Federal agencies or departments, and will determine the timing of the teleconference. During this teleconference the review team and the VR agency may discuss any additional technical assistance needs identified during the monitoring activities.

E. Off-Site Review Process

RSA may elect to conduct an off-site review of a State VR agency during the monitoring cycle based upon the accountability model score or other factors. The monitoring team, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to three focus areas—

- **Performance of State Vocational Rehabilitation Services and State Supported Employment Services Programs**
The off-site review will parallel the on-site review focus area with the exception of the service record review.
- **Pre-Employment Transition Services for Students with Disabilities**

The off-site review team will examine policies and procedures related to the provision of pre-employment transition services and the VR agency's implementation of these services.

- **Financial Management of the State Vocational Rehabilitation Services and Supported Employment Services Programs**

The off-site review team will select targeted areas for review based upon needs identified by RSA with input from the State VR agency.

F. The Draft Report

The review team will develop a draft report containing—

- Analyses, observations, and recommendations to improve the performance of each focus area;
- Programmatic and fiscal compliance findings, and corrective actions to improve outcomes for individuals with disabilities; and
- Descriptions of technical assistance provided during the review that will result in continuous improvement in the performance of the VR agency.

The review team will develop and transmit the draft monitoring report to the VR agency once the draft report has completed internal review by RSA and, as needed, relevant departmental or inter-departmental review. The VR agency will have 21 calendar days to submit written responses to the draft report. Extenuating circumstances require a written request for an extension.

The VR agency responses to the draft report should include—

- Identification of factual errors either in a comment inserted in the document, if substantial, or in redline track changes, if minor, or through an email;
- Responses to any programmatic or fiscal recommendations, compliance findings, and corrective actions in the designated areas for response in the report;
- The attachment of supporting documentation or data as needed to substantiate VR agency responses; and
- Requests for technical assistance to carry out the recommendations and corrective actions identified in the draft report.

The review team may engage in discussions with the VR agency management and staff to assist the agency in its development of responses to the draft report. The review team may conduct teleconferences with the VR agency to clarify information provided by the VR agency in its responses and request additional documentation to support statements made in the responses. Preliminary discussions may also occur at this time between the VR agency and the review team as to technical assistance that is identified or requested as a result of the review.

G. The Final Monitoring Report

Based on the information the VR agency provides in response to the draft report, the review team will develop the final monitoring report, making any corrections as needed. The review team

may also modify or eliminate an observation, recommendation, compliance finding, or corrective action after consulting with SMPID management, the Department's Office of the General Counsel, other Department officials, or other agencies, as warranted.

In addition to the information included in the draft report, the final report will contain the VR agency's responses to the draft report and any requests for technical assistance to support the VR agency in carrying out the recommendations and corrective actions to improve outcomes for individuals with disabilities. Documentation or exhibits the VR agency submits in support of its responses to the draft report will be included in the final report at RSA's discretion. The review team may request additional assurances or documentation from the VR agency in connection with programmatic or fiscal findings. The final report will indicate when such material is required.

Once completed, the review team will transmit the final report electronically to the VR agency and the SRC. The VR agency, SRC, and others as appropriate, will be notified upon publication of the final report on the RSA website.

H. Corrective Action Plan

Within 45 calendar days from the issuance of the final report, the VR agency and review team will develop a corrective action plan (CAP) to address findings identified through the monitoring process to improve the VR agency's compliance and employment outcomes. RSA and the VR agency may set target dates by which specific corrective action steps will be completed; the CAP targets and timelines will be dependent upon the type of finding. In most instances, corrective actions should be completed within nine months following the approval of the CAP. In accordance with 2 C.F.R. 200.303(d), VR agencies must "take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings." To facilitate the VR agency's development of the CAP and to promote consistency in the information contained in the plan, all CAPs will be developed, approved, and tracked through RSA's website.

The content of the CAP must include—

- Programmatic or fiscal findings as stated in the final report;
- Corrective actions required to resolve the findings contained in the final report;
- Specific steps the VR agency will take to complete the corrective actions;
- Timelines within which the VR agency expects to complete each step of the corrective actions; and
- Target dates for resolution of the findings.

The review team will transmit instructions to the VR agency for the submission of its CAP through the RSA website. Once the CAP is approved by RSA, the VR agency will use the RSA website to provide quarterly progress reports on implementing the CAP. The VR agency should plan to submit the first CAP progress report no later than 30 calendar days after the end of the first full quarter following the approval of the CAP, and then 30 calendar days after each subsequent quarter is concluded, until all corrective actions are completed and the CAP is retired. In the event an agency does not make sufficient progress toward compliance through the approved CAP, RSA, at its discretion, may require the agency to take additional steps including,

but not limited to, revising the CAP steps, timeline, target dates, etc. In the event these revisions do not result in compliance, RSA reserves the right to take additional enforcement actions as may be necessary.

I. Involvement of Consultants in the Review Process

It is within the discretion of the VR agency to involve contracted consultants in any or all stages of the review process, including the exchange of information and conduct of teleconferences/video conferences in preparation for the on-site visit, meetings held on-site, follow-up teleconferences, the development of draft reports and responses to those reports, as well as the development of the CAP. Nonetheless, the review team will direct all communication to VR agency management and staff, as well as to technical assistance center representatives and other stakeholders when appropriate, and not to the consultants.

J. Evaluation of the Review Process

Consistent with OSERS' framework and commitment to rethink anything and everything to ensure that OSERS is in the best position to achieve its mission, all participants in the monitoring and technical assistance review process, including VR agency management and personnel, SRC members, the Client Assistance Program, technical assistance centers, and other stakeholders, may, at any point in the monitoring process, provide written comment and suggestions for improvement of the review process to RSA. This feedback may be used to inform future monitoring activities.

III. Focus Area—Performance of the State Vocational Rehabilitation Services and State Supported Employment Services Programs

A. Nature and Scope

RSA will assess the performance of State Vocational Rehabilitation Services and State Supported Employment Services programs by reviewing the employment outcomes of individuals with disabilities served by those programs. For both on-site and off-site reviews, the assessment will involve an in-depth and integrated analysis of core VR and Supported Employment program data. On-site visits will also include the review of individual case service records. The analysis will be based on a review of the programmatic data contained in Tables 1 through 12 and found in Appendix C of this MTAG. The data used in the analysis are largely those collected and reported by the VR agency through the Case Service Report (RSA-911) based on Policy Directive 16-04 and the Cumulative Caseload Report (RSA-113). When available through the RSA-911, the data will include those captured under common reporting requirements and necessary for the calculation of performance indicators for all core programs in the workforce development system, including the VR program, established in Title I of WIOA.

The analysis is intended to serve as a broad overview of the performance of the VR and Supported Employment programs administered by the VR agency and should not be construed as a definitive or exhaustive review of all available VR program data. The data tables generally measure performance of the VR agency based on data for individuals with open and closed service records during the most recent program year (PY) (July 1, 2017, through June 30, 2018) for which data are available. The analysis will cover the data in Tables 1 through 12 (Appendix C). RSA also will review policies and procedures related to internal controls necessary for the verification of data.

The review team will examine the data tables and the relationship of these data elements to each other and use a variety of other resources to analyze the VR agency's performance. For example, RSA will assess the efficacy of services provided to eligible individuals with disabilities by reviewing hours worked, earnings, and the receipt of other benefits. Also, the examination of data related to the percentage of individuals with disabilities served with particular types of impairments may be indicative of decisions made by VR agency management based on the results of the comprehensive statewide needs assessment (CSNA) and other information. In addition to data tables, the review team will use a variety of other resources to better understand the agency's performance. Other resources may include, but are not limited to—

- Agency policies and procedures related to the provision of pre-employment transition services, competitive integrated employment, and supported employment services; and
- Description L in the VR services portion of the program year 2016 Unified or Combined State Plan and modifications in PY 2018 describing goals and priorities pertaining to the performance of the VR program.

The review team will share the data tables with the VR agency prior to the on-site visit and prior to the scheduled teleconferences for off-site reviews. Throughout the review process, RSA will rely on the VR agency to explain how the data demonstrate performance.

During on-site visits, RSA also will conduct a review of individual case service records. The review team will discuss the selection of service records with each VR agency, which may vary by agency as each is unique in the method it uses to maintain records. RSA will use the information obtained through the review of service records to assess a VR agency's internal controls for the accuracy and validity of its data.

As a result of its analysis and discussions with key VR agency officials and staff, RSA will develop recommendations intended to assist the VR agency in its efforts to improve identified areas of programmatic performance. Compliance findings will not be generated by the analysis unless RSA finds that policies or procedures reviewed in conjunction with the performance analysis are not consistent with Federal requirements governing the VR program. The VR agency will share its progress toward implementation of any recommendations identified in the final monitoring report with the RSA team and identify any technical assistance needs.

In addition, the review team will provide technical assistance on the WIOA joint performance accountability measures established in Section 116(b) of WIOA and will discuss with the VR agency available data demonstrating the potential effect of the joint performance accountability measures on the State and agency level performance.

RSA will describe any technical assistance provided to improve programmatic performance in the final monitoring report.

B. Data Analysis of the Performance of the VR and Supported Employment Programs

The RSA team will conduct the analysis of the performance of the VR and Supported Employment programs using Tables 1 through 12 in Appendix C and by exploring the topics and questions below. The questions are not exhaustive, but are intended to assist the VR agency and the review team in generating discussions on various aspects of the agency's performance, including how to "rethink" strategies that will promote innovative approaches to improve the quality of employment outcomes for individuals with disabilities.

VR Agency Profile

Resources: Appendix C

- Table 1—VR Agency Profile (PY 2017)
- Table 2—Summary Statistics from RSA 113 (FFYs 2016-2018)
- Table 3—Number and Percentage of Participants Served by Primary Disability Type (PY 2017)

The data contained in Table 1 provide a profile of the VR agency in PY 2017. The data reflect the VR agency's employment rate, the number of individuals with disabilities who achieved

competitive integrated employment or supported employment, information on measurable skill gains (MSGs), and data related to individuals at various points in the VR process.

Most of the data used in Tables 1 and 3 were provided by the VR agency to RSA through the RSA-911. VR agencies began reporting information for individuals with open service records in PY 2017.

Questions:

1. If the VR agency is on an order of selection (OOS)—
 - a. How long has the agency been on an OOS;
 - b. What prompted the implementation of the OOS;
 - c. How many categories are currently open;
 - d. What changes are anticipated in the future; and
 - e. What is the status of the waiting list?
2. What recent trends in the employment rate has the VR agency experienced? What strategies is the agency undertaking to improve its employment rate?
3. How does the agency determine MSGs? What efforts is the VR agency making to increase the number of individuals eligible for MSGs who achieve an MSG?
4. How does the VR agency ensure accurate reporting of MSGs? Has the agency provided training to staff? Has the agency developed policies or procedures?
5. Is the VR agency substantially meeting the time frames for eligibility determination and individualized plan for employment (IPE) development? If not, what strategies has the agency developed to improve its performance in meeting these time frames?
6. Describe which of the five major disability categories are being served most by the VR agency. Which are being served the least? What accounts for the difference?
7. For individuals who have an IPE and have received no services, what is the VR agency's explanation for these individuals not receiving services and what strategies has the agency developed to address this issue?
8. Does the agency have any strategies for increasing the number of participants in the VR program? What barriers has the agency encountered in increasing the number of participants?
9. Discuss the agency's number of participants with a supported employment goal and any strategies to maintain or increase that number.

The VR Process

Resources: Appendix C

- Table 1—VR Agency Profile (PY 2017)

- Table 2—Summary Statistics from RSA 113 (FFYs 2016-2018)
- Table 4—Number and Percentage of Individuals Exiting at Various Stages of the VR Process (PY 2017)
- Table 5—Number and Percentage of Individuals Exiting by Reason during the VR Process (PY 2017)

In looking at the VR process, it is helpful to look at both trend data and PY 2017 data to gain a picture of how individuals with disabilities move through the VR process. Through such an analysis, the VR agency and the review team can pinpoint potential obstacles to efficient service delivery and engagement of individuals with disabilities throughout their VR journey. In many instances, such analysis can address problems with high attrition and premature exit at various stages of the VR process.

Questions:

10. Identify trends in the number of total applicants for FFYs 2016, 2017, and 2018, shown in Table 2 and any justification for the trends.
11. Identify trends in the total number of eligible individuals for whom an IPE has not been developed for FFYs 2016, 2017, and 2018, shown in Table 2 and compare to the number of applicants over the same time frame.
12. Is the VR agency on an OOS? If so, describe any changes in how many individuals were on the waiting list at the end of each year. Identify the factors the VR agency indicates may be responsible for the trend in OOS waiting list data and request that the VR agency explain and quantify the effect of any factors that may have increased or decreased the OOS waiting list.
13. If the VR agency is not on an OOS, is the VR agency considering implementing an OOS and, if so, describe its reasons for considering an OOS. If the agency is not considering implementing an OOS, are their indicators that the agency is over capacity, such as delays in IPE development or service delivery?
14. Do the data in Table 2 show any significant changes in the number of individuals served under an IPE? If so, describe any changes in the number of individuals served under an IPE and the effect on performance overall for the VR agency. Are there individuals accepted for services who did not receive services? Discuss the projected performance implications.
15. What strategies has the VR agency employed to improve the timely flow of applicants through the various stages of the VR process, including the determination of eligibility within 60 days as required by Section 102(a)(6) of the Rehabilitation Act and development of the IPE within 90 days following the determination of eligibility as required in Section 102(b)(3)(F) of the Rehabilitation Act.
16. At what points are individuals with disabilities exiting the VR program prior to a signed IPE and receipt of services and what are their major reasons for exiting?
 - a. After application but before eligibility;
 - b. During or after trial work experience;

- c. After a determination of ineligibility;
- d. After eligibility from an OOS waiting list, if applicable; and
- e. After eligibility, but prior to a signed IPE.

17. What is the VR agency doing to reduce the number of individuals exiting from the program prior to the receipt of services and without an employment outcome?
18. For individuals with disabilities exiting the program after IPE development and service provision but without an employment outcome, can the VR agency describe why these exits are occurring and the strategies the VR agency is employing to increase the number of individuals achieving an employment outcome?

VR Services

Resources: Appendix C

- Table 6—VR Services Provided to Participants (PY 2017)
- Table 7—Number of Measurable Skill Gains Earned, Number of Participants Who Earned Measurable Skill Gains, and Types of Measurable Skill Gain (PY 2017)

The information in Table 6 is intended to provide a general overview of the provision of services and the potential effect on the ability of eligible individuals to achieve quality employment. The tables for the services provided have been categorized into three subcategories: Training Services, Career Services, and Other Services. Training services may include such services as postsecondary education, vocational and occupation skills training, on-the-job training, and apprenticeship training. A full list of training services is provided in Section 134(c)(3)(D) of WIOA. Career services may include assessments, group or individual counseling, or career planning. A full list of career services is listed in Section 134(c)(2) of WIOA. Other services would include any other service provided through the VR program not specified as training or career services in WIOA. These services include, for example, transportation, maintenance, reader services, or interpreter services.

Questions:

19. What training, career, and other services are provided most often and least often (by percentage) for all individuals served? How might the provision of these services affect the quality of employment outcomes for the VR agency?
20. Describe any correlation between the services being provided with the employment outcomes, both in terms of the quality of employment outcomes and the quantity of employment outcomes.
21. Are the services being provided meeting the specific and unique needs of individuals in each of the five major disability categories?

22. How has WIOA affected the availability and provision of services by the VR agency leading to quality employment outcomes?
23. To what extent has the agency increased its employment engagement strategies since the passage of WIOA? What has been the effect on the quantity and quality of employment outcomes for individuals with disabilities?
24. To what extent has the VR agency's coordination with other WIOA partner programs in the State benefited VR program participants in terms of the availability and provision of VR services?
25. Have there been changes in the policies or strategies employed by the VR agency to provide services (for example, implementation of a financial needs test, cost containment measures, use of comparable services or benefits, etc.)?
26. Has the agency made any significant changes in its service delivery models?
27. How is the VR agency embracing and reporting MSGs and planning for credential attainment? Specifically, how is the VR agency providing postsecondary and vocational training leading to credentials and improved opportunities for quality employment outcomes?
28. To what extent, if any, is the VR agency using comprehensive transition programs to assist individuals with intellectual and developmental disabilities in their journey to employment?
29. What types of services is the agency providing to assist individuals with disabilities in gaining work skills (for example, work-based learning experiences, apprenticeships, internships, etc.)?
30. To what extent is the agency providing job retention services?

Quality of Employment Outcomes

Resources: Appendix C

- Table 1—VR Agency Profile (2017)
- Table 4—Number and Percentage of Individuals Exiting at Various Stages of the VR Process (PY 2017)
- Table 5—Number and Percentage of Individuals Exiting by Reason during the VR Process (PY 2017)
- Table 6—VR Services Provided to Participants (PY 2017)
- Table 8—Median Hourly Earnings, Median Hours Worked per Week, Sources of Support, and Medical Insurance Coverage for Participants Who Exited with Competitive Integrated Employment or Supported Employment (PY 2017)
- Table 9— Standard Occupational Classification (SOC) Titles (Major Groups): Percentages of Employment Outcomes and Median Hourly Earnings for Participants Who Exited with Competitive Employment or Supported Employment (PY 2017)

- Table 10—Number of Participants Who Exited with Competitive Integrated Employment or Supported Employment by the Most Frequent SOC Title (PY 2017)

The RSA team will review the employment rate, median wages earned, and median weekly hours worked, the review team will examine the types of occupations that VR participants obtain, efforts to promote career advancement, the attainment of MSGs and credentials, efforts to assist individuals in achieving parity with the general working population, and strategies to promote job retention.

Questions:

31. Given its employment rate, what strategies has the VR agency developed to improve its overall performance in assisting individuals to achieve competitive integrated employment or supported employment, including customized employment?
32. Discuss and identify with the VR agency the factors related to any changes in the percentage of competitive integrated employment outcomes in recent years.
33. How does the agency view its performance related to median hourly wages and median hours worked? Has the agency compared its performance to any State information on median hourly wage and earnings for the general population?
34. Has the agency encountered any challenges or barriers in assisting individuals with disabilities in achieving quality employment outcomes? If so, please discuss these.
35. Are individuals achieving substantial gainful activity and/or reducing the need for public support?
36. Discuss any challenges related to obtaining and using State quarterly wage data or supplemental employment data for—
 - a. Individuals employed within the State;
 - b. Individuals employed outside the State; and
 - c. Individuals employed in occupations not covered by State quarterly wage data, including Federal employment, self-employment, and employment in non-covered agricultural occupations.
37. How does the VR agency determine the effectiveness of its strategies to improve the quality and quantity of employment outcomes, including supported employment outcomes? Describe any evaluation plans or methods to evaluate the effectiveness of these strategies. Describe any preliminary evaluation findings that indicate discernable effects on the performance of the VR agency as a result of the implementation of these strategies.
38. What strategies has the VR agency employed to increase the number of employment outcomes in supported employment at competitive wages at or above minimum wage?

39. In PY 2017, what were the five most common SOC codes in which competitive employment outcomes were classified? Were they representative of the broad range of SOC categories or concentrated in particular categories?
40. In PY 2017, which SOC codes are associated with the highest and lowest median hourly wages?
41. What strategies has the VR agency engaged in to assist individuals with disabilities to advance in employment, including advanced training in the fields of science, technology, engineering, or mathematics (STEM), including computer science, medicine, law or business, in accordance with the requirements of Section 103(a)(18) of the Rehabilitation Act?
42. To what extent is the VR agency's collaboration with employers and workforce development partners resulting in opportunities for quality employment outcomes?
43. How is the VR agency "rethinking" its policies and practices, including business engagement, to assist individuals with disabilities to achieve quality employment outcomes that meet their career goals?
44. How is the VR agency "rethinking" its policies and strategies to assist individuals with the most significant disabilities to achieve quality supported employment outcomes consistent with their informed choice and career goals?
45. To what extent is the VR agency using the short-term basis to assist individuals with the most significant disabilities to achieve competitive integrated employment?
46. To what extent is the VR agency using extended services for youth with the most significant disabilities?

Pre-Employment Transition Service

Beginning in PY 2017, the VR agency reported RSA-911 data related to the provision of pre-employment transition services to students with disabilities, including both potentially eligible applicants and those determined eligible for the VR program. The review team will analyze data on the number of students with disabilities, the number of those receiving pre-employment transition services, and the types of services provided.

Resources: Appendix C

Table 11—Number of Students with Disabilities Reported, and the Number and Percentage of Students with Disabilities Who Received Pre-Employment Transition Services (PY 2017)

- Table 12—Number and Percentage of Required Pre-Employment Transition Services Provided (PY 2017)

Questions:

47. How is the agency tracking and reporting pre-employment transition services provided to students with disabilities?
48. What percentage of students with disabilities reported on the RSA-911 is receiving pre-employment transition services? Explain why any reported students with disabilities may not be receiving pre-employment transition services.
49. Of those receiving one or more pre-employment transition service, how many are applicants of the VR program? How many are potentially eligible?
50. How many students with disabilities are exiting pre-employment transition services without applying for further VR services? What strategies is the VR agency using to encourage potentially eligible students with disabilities to consider applying for the VR program?
51. Which of the five required pre-employment transition services does the VR agency provide most and least frequently? Why?

D. RSA-911 Data Reporting Internal Controls

Resources: Policies and procedures related to internal controls necessary for the verification of data in the RSA-911, including RSA PD-16-04

This area assesses performance accountability in relation to the internal control requirements in 2 C.F.R. § 200.303. Internal controls means a process, implemented by a non-Federal entity, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. Internal controls are established and implemented as a measure of checks and balances to ensure proper expenditures of funds. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved.

The VR agency is required to maintain verifying documentation in an individual's service record, particularly regarding eligibility determination, IPE development, services provided, and case closure. The use of an electronic case management system does not remove the requirement for the agency to maintain either hard copies or scanned copies of required supporting documentation in the individual's service record. RSA staff will review a sample of RSA-911 case service records to ensure the documentation in the service record is accurate, complete, and supports the data entered into the RSA-911. The Service Record Review instrument is located in Appendix D. The RSA team will review the VR agency's current policies and procedures related to internal controls and quality assurance.

Questions:

- 53. How does the VR agency's quality assurance system ensure that data are reported accurately?
- 54. What technical assistance does the VR agency need on the requirements for developing and implementing improved internal controls to ensure that data reported are accurate and complete?
- 55. What training and technical assistance does the VR agency need on the type of source documentation required to validate the data reported through the RSA-911?

E. Technical Assistance

The following questions are designed to assess the quality of the technical assistance provided by RSA and RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency.

- 56. What technical assistance needs does the VR agency have on any issue or topic related to this focus area?
- 57. Has the VR agency received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided.

Has the VR agency received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance received. What were the objectives/results?

- 58. Did the technical assistance provided by RSA and RSA-funded centers aid the VR agency in correcting or improving its delivery of services to individuals with disabilities?

IV. Focus Area—Pre-Employment Transition Services for Students with Disabilities

A. Nature and Scope

RSA will assess the VR agency's performance and technical assistance needs related to the provision of pre-employment transition services to students with disabilities.

The Rehabilitation Act, as amended by Title IV of WIOA, places heightened emphasis on the provision of services, including pre-employment transition services, to students and youth with disabilities to ensure they have meaningful opportunities to receive training and other services necessary to achieve employment outcomes in competitive integrated employment. Pre-employment transition services are designed to help students with disabilities begin to identify career interests that will be explored further through additional VR services. The Rehabilitation Act and implementing regulations for the VR program in 34 C.F.R. part 361 contain several requirements related to the provision of pre-employment transition services.

“Pre-employment transition services,” defined in Section 7(30) of the Rehabilitation Act and 34 C.F.R. § 361.5(c)(42), include both required activities and authorized activities specified in Section 113 of the Rehabilitation Act and in 34 C.F.R. § 361.48(a). Pre-employment transition services also include pre-employment transition coordination activities. Section 113(a) of the Rehabilitation Act requires that VR agencies provide, or arrange for the provision of, pre-employment transition services to students with disabilities who are eligible or potentially eligible for VR services. The term “potentially eligible” is specific to the provision of pre-employment transition services, but is not defined in the Rehabilitation Act. All students with disabilities, regardless of whether they have applied for the VR program, are potentially eligible to receive pre-employment transition services. A “student with a disability,” is defined in Section 7(37) of the Rehabilitation Act and in 34 C.F.R. § 361.5(c)(51), and means an individual with a disability who is not younger than the minimum age for the provision of transition services under the Individuals with Disabilities Education Act (IDEA), unless the State elects to use a younger age for the receipt of pre-employment transition services, and is not older than the State's maximum age for the receipt of services under IDEA; thus, the age range of a “student with a disability” may vary from State to State.

To facilitate monitoring and in preparation for the on-site visit, RSA and the VR agency jointly will review applicable documentation related to pre-employment transition services, which may include—

- SEA and local educational agency (LEA) agreements;
- VR agency policies related to the provision of pre-employment transition services;
- Documentation related to the State's minimum and maximum age for the provision of transition services under the Individuals with Disabilities Education Act (IDEA);
- As applicable, sample fee-for-service and third-party cooperative arrangement contracts for the provision of pre-employment transition services;
- Work-based learning experience agreements, as applicable;

- Assurance 4(j) and descriptions (d), (g), (j), (l), (m), and (o), and any other relevant information from the most recently submitted VR services portion of the Unified or Combined State Plan;
- Federal Financial Report (SF-425) reporting procedures, especially as those procedures relate to the proper accounting and reporting of expenditures with funds reserved under Section 110(d)(1) of the Rehabilitation Act for the provision of pre-employment transition services for students with disabilities;
- Supporting documentation for expenditures incurred with funds reserved for the provision of pre-employment transition services and reported in line 12b of the SF-425; and
- Policies or procedures for tracking expenditures for the provision of pre-employment transition services for 1) purchased services and services provided by VR agency personnel; and 2) related procedures to exclude administrative costs from expenditures paid with funds reserved under Section 110(d)(1) for the provision of pre-employment transition services (Section 110(d)(2) of the Rehabilitation Act prohibits such costs from being paid for with funds reserved under Section 110(d)(1)).

In gathering information related to the provision of pre-employment transition services, RSA may consult—

- The VR agency director and other senior managers;
- VR agency fiscal officers and staff;
- VR agency counselors;
- VR agency transition coordinators and staff;
- State and local educational agencies;
- Service providers; and
- Other partners in the delivery of pre-employment transition services.

B. Implementation of Pre-Employment Transition Services

Review of documentation and responses to questions in each of the areas below may be used in the development of an overview and analysis of the performance of the VR agency in the provision of pre-employment transition services and innovative strategies.

Service Delivery Structure

Resources:

- Description (d)—Coordination with education officials and Descriptions (l)—State Goals and Priorities and (o)—State's Strategies from the VR services portion of the most recently approved Unified or Combined State Plan;
- Policies and procedures related to the service delivery structure and provision of pre-employment transition services;
- Agreements or contracts procuring the provision of pre-employment transition services, as applicable; and
- Appendix E—Third-Party Cooperative Arrangement (TPCA) Review Instrument.

In providing or arranging for the provision of pre-employment transition services, the VR agency must consider the various requirements under the Rehabilitation Act. Pre-employment transition services provided under Section 113 of the Rehabilitation Act, and 34 C.F.R. § 361.48(a) are available only to students with disabilities. Students with disabilities may receive pre-employment transition services with or without an IPE under Section 113 of the Rehabilitation Act, or may receive pre-employment transition services and/or transition services under an IPE in accordance with Section 103(a)(15) of the Rehabilitation Act.

Questions:

1. Describe the VR agency's service delivery structure and strategies for the provision of pre-employment transition services to students with disabilities.
 - a. Describe how the VR agency provides and pays for pre-employment transition services (e.g., in-house, TPCAs, fee-for service contracts, etc.).
 - b. Describe how the VR agency is making all required activities available to students with disabilities statewide, including those students who are potentially eligible for VR services.
 - c. Are pre-employment transition services being provided by LEAs, CRPs, or other vendors through contracts or arrangements with the VR agency? Are all five required activities being provided or only a portion of them?
2. Describe the intake process for pre-employment transition services and the referral and application processes for VR services.
3. Identify the VR agency's use of interagency agreements and/or TPCAs to provide pre-employment transition services.
4. Identify and describe any innovative or evidence-based practices for the provision of pre-employment transition services.

Outreach

Resources:

- Description (d)—Coordination with Education Officials from the VR services portion of the most recently approved Unified or Combined State Plan;
- Policies and procedures related to outreach to students with disabilities; and
- Formal interagency agreement with the SEA, and agreements with LEAs, if applicable.

In accordance with the requirements for the formal interagency agreement with the State educational agency, outreach to students should occur as early as possible during the transition planning process and must include, at a minimum, a description of the purpose of the VR program, eligibility requirements, application procedures, and the scope of services that may be provided to eligible individuals. Similarly, the VR agency must conduct outreach activities in order to identify potentially eligible students with disabilities to offer pre-employment transition services.

Questions:

5. When and how does the VR agency reach out to students with disabilities, including those individuals who are potentially eligible for VR services?
6. What groups/entities does the VR agency target in its outreach efforts (e.g., unserved and underserved populations, students with individualized education programs (IEPs) or served under Section 504, and all other students with disabilities, as well as their families)?
7. What information about the VR program is provided during outreach efforts?
8. Are there strategies that have been particularly effective in attracting and engaging students with disabilities in pre-employment transition services and the VR program? If so, how does the VR agency determine if these strategies are effective?

Planning for the Delivery of Pre-Employment Transition Services for Students with Disabilities**Resources:**

- Policies and procedures regarding pre-employment transition services; and
- Descriptions (j) and (o) in the VR services portion of the most recently approved Unified or Combined State Plan.

The VR services portion of the Unified or Combined State plan must contain plans, policies, and procedures for coordination between the DSA and education officials responsible for the public education of students with disabilities that are designed to facilitate the transition of students with disabilities from the receipt of educational services in school to the receipt of VR services under the responsibility of the DSA.

9. Describe the VR agency's methods for identifying students with disabilities in the State and assessing their needs for pre-employment transition services, and transition services, as appropriate.
10. Describe the needs of students with disabilities for pre-employment transition services identified in the most recent CSNA and the extent to which these services are coordinated with transition services provided under IDEA.
11. Describe the strategies that have been used or will be used to expand and improve pre-employment transition services for students with disabilities.

State Educational Agency (SEA) Agreement

Resource: Current formal interagency agreement between the VR agency and the SEA and, if applicable, between the VR agency and the LEAs

The VR services portion of the Unified or Combined State Plan must include information on a formal interagency agreement with the State educational agency that, at a minimum, provides for

the requirements in 34 C.F.R. § 361.22(b), including requirements in 34 C.F.R. § 361.22(b)(5) and (6), which address coordination of documentation requirements and contracting limitations for educational agencies imposed by Section 511 of the Rehabilitation Act.

Questions:

12. Has the formal interagency agreement with the SEA been revised to be consistent with requirements in 34 C.F.R. § 361.22(b) and requirements related to the coordination and provision of pre-employment transition services in 34 C.F.R. § 361.48(a)?
13. If so, describe the revisions made to the formal interagency agreement with the SEA.
14. Describe how the VR agency is coordinating and facilitating the provision of pre-employment transition services with the SEA and LEAs, taking into account the following considerations:
 - a. Has a process for determining programmatic and fiscal responsibilities been developed and implemented? If so, describe;
 - b. How are the VR agency and the SEA and LEAs determining responsibility for those services that may be both a special education or related service under IDEA and a VR service under the Rehabilitation Act?;
 - c. Has the VR agency provided joint guidance, consultation and technical assistance, as well as training to VR and educational staff, regarding the requirements related to the provision of pre-employment transition services?;
 - d. How do LEAs implement and observe the provisions of the agreement between the VR agency and the SEA?; and
 - e. Has the VR agency developed any formal interagency agreements with LEAs? If so, describe the nature and scope of the agreements, particularly as they relate to the provision of pre-employment transition services?

Provision of Pre-Employment Transition Services

Resources:

- VR agency policies for the provision of pre-employment transition services to students with disabilities; and
- As appropriate, arrangements, agreements, and contracts to provide required, authorized, and pre-employment transition coordination activities.

There are five required activities in 34 C.F.R. § 361.48(a)(2) (most beneficial to a student in the early stages of employment exploration) that are provided directly to eligible or potentially eligible students with disabilities, including—

- Job exploration counseling;
- Work-based learning experience (e.g., type of work, paid or unpaid, actual work or simulated, during or after school) and setting (e.g., in-school or community-based setting, group or individual basis, integrated or non-integrated settings);

- Counseling on opportunities for enrollment in comprehensive transition or postsecondary educational programs at institutions of higher education (including settings in which it is provided);
- Workplace readiness training (coordination and provision, including types of training activities and settings); and
- Instruction in self-advocacy.

There are nine authorized activities described in 34 C.F.R. § 361.48(a)(3) that a VR agency may implement to improve the transition of students with disabilities from school to postsecondary education or an employment outcome. Pre-employment transition coordination activities, described in 34 C.F.R. § 361.48(a)(4), include activities that each local VR office must engage in to coordinate and facilitate the provision of pre-employment transition services to students with disabilities in need of such services.

Questions:

15. What is the minimum age that students with disabilities may begin receiving pre-employment transition services in the State and how was it determined? If the State has two VR agencies and elects to serve students with disabilities at an earlier age than the minimum age under IDEA for transition services, is there agreement among the two VR agencies on the minimum age?
16. What is the minimum age for the provision of transition services, and what is the maximum age for the receipt of services under IDEA by students with disabilities in the State? Explain any differences between the IDEA age range and the range for pre-employment transition services in the State.

Required Activities

17. Describe how the VR agency is providing each of the required activities under pre-employment transition services to students with disabilities, including those individuals who are potentially eligible for VR services, VR applicants or eligible individuals, and eligible individuals with an IPE.
18. How are students with disabilities informed of their options and involved in the selection of pre-employment transition services and the entity to provide such services?
19. Describe how the VR agency monitors and evaluates pre-employment transition services provided through—
 - VR agency staff;
 - Purchased services from vendors; or
 - TPCAs or other agreements.
20. Of the students with disabilities who have received pre-employment transition services, how many have applied for VR services?

21. Some students receiving pre-employment transition services also receive VR services. Describe any VR services received by students with disabilities who also are receiving pre-employment transition services. What additional services are most frequently provided? Describe how additional VR services are coded, reported, and charged to the VR program.

Authorized Activities

22. What process (e.g., CSNA, fiscal forecasting or other planning activities) is the VR agency using to determine the amount of Federal funds that need to be reserved and expended for the provision of the required activities under Section 110(d)(1) of the Rehabilitation Act, and the amount that remains available for the provision of the authorized activities?
23. Which authorized activities have been provided, coordinated or arranged by the VR agency?
24. Are authorized activities purchased by the VR agency? If so, what type of agreement does the agency use to provide the authorized services?

Pre-Employment Transition Coordination Activities

25. Describe the VR agency's efforts to engage with partners and education programs to collaboratively provide pre-employment transition services, including planning activities and joint activities. What challenges, if any, is the VR agency experiencing in collaborating with education programs and other partners to provide pre-employment transition coordination activities?
26. Describe how VR counselors are involved in IEP meetings? Are there any challenges related to their participation?

Policies and Procedures

Resource: VR agency policies relating to the provision of pre-employment transition services to students with disabilities

Policies and procedures related to the provision of pre-employment transition services to students with disabilities must align with the requirements in Section 113 of the Rehabilitation Act and 34 C.F.R. § 361.48(a).

Questions:

27. Describe the policies and procedures that the VR agency has developed, revised or implemented to address changes related to pre-employment transition services requirements, including the provision of services to students with disabilities who are potentially eligible for VR services.
28. Does the VR agency have policies related to referral for pre-employment transition services; application for VR services; collaborative service provision; service agreements; and documenting, tracking, and reporting such services?

State Plan Goals

Resources: Descriptions (l) and (o) of the VR services portion of the most recently submitted Unified or Combined State Plan

In accordance with Section 101(a)(15)(A) and (D) of the Rehabilitation Act, VR agencies must assess the needs of students and youth with disabilities for transition and pre-employment transition services and identify the strategies, goals, and priorities to address these needs in the VR services portion of the Unified or Combined State Plan.

Questions:

29. Describe how the VR service needs of students with disabilities identified in the CSNA are reflected in the goals of the VR services portion of the Unified or Combined State Plan (34 C.F.R. §361.29(c)(4)(i)).
30. If the VR agency has established specific goals and objectives or strategies for serving students with disabilities, do the objectives or strategies reflect collaboration with the SEA, LEAs, as appropriate, and other entities providing services to students with disabilities? Are these goals and objectives measurable? Describe the outcomes of these goals or strategies.

C. Fiscal Elements of the Provision of Pre-Employment Transition Services

Through the implementation of this section of the focus area, RSA will assess the provision of pre-employment transition services with particular attention to the agency administrative costs associated with the provision of such services, which may not be paid from the 15 percent reserve of the Federal VR award. Fiscal accountability requirements ensure award funds are spent for the intended purposes and maximize resources available for program needs, thereby supporting the provision of pre-employment transition services to students with disabilities. Fiscal accountability requirements consist of program-specific requirements and general administrative requirements.

RSA financial management staff will review VR agency adherence to both the program specific and general administrative accountability requirements that apply to the provision of pre-employment transition services. Since the Federal funds reserved for the provision of pre-employment transition services are part of the VR allotment, the non-Federal share requirements are the same as those for all VR grant funds (34 C.F.R. § 361.60(b)).

Administrative Costs

Resources: Updated policies or procedures for tracking expenditures for the provision of pre-employment transition services for purchased services and services provided by VR agency personnel and related procedures to track expenditures for administrative costs and ensure they are excluded from reserve expenditures

Under Section 110(d)(2) of the Rehabilitation Act and 34 C.F.R. § 361.65(a)(3)(ii)(B), funds reserved and expended toward the provision of pre-employment transition services may not be

used to pay agency administrative costs associated with the provision of such services. A State may use regular VR funds to pay agency administrative costs associated with the provision of pre-employment transition services. This provision means that any administrative costs charged to the Federal VR award are not permitted as expenditures to meet the 15 percent reserve, which may only be met with expenditures for the provision of pre-employment transition services either directly through the required activities, or to enhance the provision of such services via authorized and coordination activities.

RSA generally will not require grantees to extract administrative costs that exist within contracts from total contract costs when reporting the cost of the contract as pre-employment transition services expenditures.

Questions:

31. How does the VR agency track expenditures to ensure that administrative costs do not count toward the amount required to be reserved and expended for the provision of pre-employment transition services? How can this process be improved?
32. Describe how the VR agency tracks administrative cost expenditures to ensure that any administrative expenditures charged to the VR award are not reported as expenditures meeting the reservation requirement for pre-employment transition services. How can this process be improved?

D. Technical Assistance

The following questions are designed to assess the quality of the technical assistance provided by RSA and the OSEP and RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency.

32. What technical assistance needs does the VR agency have on any issue or topic related to this focus area?
33. Has the VR agency received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided.
34. Has the VR agency received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance received. What were the objectives/results?
35. Did the technical assistance provided by RSA and RSA-funded centers aid the VR agency in correcting or improving its delivery of services to individuals with disabilities?

V. Focus Area—Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs

A. Nature and Scope

RSA will review components of the grantee's financial management system. RSA will assess the fiscal accountability of the programs to—

- Determine whether the achievement of employment outcomes for individuals with disabilities has increased over the previous year;
- Ensure funds are used only for intended purposes;
- Ensure programs have sound internal controls and reliable reporting systems; and
- Identify needed improvements in processes and procedures.

The VR agency's internal controls for ensuring compliance with fiscal requirements will be a core component of the financial management system review. Internal controls means a process, implemented by the grantee, designed to provide reasonable assurance regarding the achievement of objectives in the effectiveness and efficiency of operations, reliability of reporting for internal and external use, and compliance with applicable laws and regulations. Internal controls are established and implemented as a measure of checks and balances to ensure proper expenditures of funds. Internal controls serve to safeguard assets and prevent fraud, waste, abuse, improper payments, and mismanagement. They include methods and procedures the grantee uses to manage the day-to-day operations of grant-supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. In accordance with the internal control requirements at 2 C.F.R. § 200.303, the non-Federal entity must—

- (a) Establish and maintain effective internal controls over the Federal award that provide reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the Federal award. These internal controls should be in compliance with guidance in “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States or the “Internal Control Integrated Framework,” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO);
- (b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards;
- (c) Evaluate and monitor the non-Federal entity's compliance with statutes, regulations, and the terms and conditions of Federal awards; and
- (d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.

For example, accurate financial reporting is a key component of internal controls. Federal regulations require that all recipients of Federal funds accurately report the financial results of all Federally-assisted activities (34 C.F.R. § 361.12 and 2 C.F.R. § 200.302). RSA financial

management specialists will review the agency's financial reports in relation to the focus areas to ensure the reports are complete and contain accurate financial information. Federal fiscal requirements are included in the—

- Rehabilitation Act and VR and Supported Employment program implementing regulations in 34 C.F.R. Part 361 and 34 C.F.R. Part 363, respectively;
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) located in 2 C.F.R. Part 200. These regulations establish the foundation of Federal cost principles and standards for determining costs for Federal awards while reducing the administrative burden on award recipients and guarding against the risk of waste and misuse of Federal funds;
- Education Department General Administrative Regulations (EDGAR) in 34 C.F.R. Part 76. These regulations are applicable to Department grantees and establish uniform administrative rules for the Department's Federal grants to State administered programs; and
- Departmental and RSA guidance, including Policy Directives (PDs), Technical Assistance Circulars (TACs), Grant Bulletins, Frequently Asked Questions (FAQ), etc.

The review team will use a variety of resources and documents from the period covering FFY 2016 through FFY 2018. If the issues identified include FFYs prior to 2016 or the agency has not submitted final reports for two complete FFYs, RSA may request additional information as needed. Resources and documentation to be reviewed include data maintained on RSA's Management Information System (MIS) that is generated from reports submitted by the VR agency (e.g., SF-425, Annual VR Program/Cost Report (RSA-2), and the VR services portion of the Unified or Combined State Plan). These data are organized into a fiscal profile for each VR agency (see Appendix F) that the review teams will share with the VR agencies and that functions as a reference for discussions regarding the areas covered within this focus area.

The review team will review the following documents to ensure adherence to accountability requirements, and may request additional if needed—

- Single State Audit findings and corrective actions;
- State/agency allocation/budget documents and annual fiscal reports;
- Agency policies, procedures, and forms (e.g., monitoring, procurement, etc.);
- Documentation of obligations and expenditures, including contracts, purchase orders, invoices, etc.; and
- Grant award notifications, documentation of non-Federal share/match (e.g., interagency transfers, TPCAs, establishment projects, private donations), maintenance of effort (MOE), and program income documentation.

The review team will work collaboratively with the VR agency to obtain the documentation necessary to complete the review (see Appendix B), while minimizing the amount of documentation requested to the extent possible.

The degree to which the review team addresses each fiscal requirement is dependent upon the individual circumstances of the agency. The review team will analyze the information obtained prior to the on-site visit by reviewing the documentation submitted, conducting teleconferences, and examining reported data to determine the level of review required for each component.

B. Period of Performance—VR program

Period of performance is the time during which the non-Federal entity (grantee) may incur new obligations to carry out the work authorized under the Federal award (2 C.F.R. § 200.77). For purposes of the Department's Grant Award Notifications (GANs), the period of performance is referred to as the Federal Funding Period.

In order to accurately account for Federal and non-Federal funds, the VR agency must ensure that allowable non-Federal and Federal obligations and expenditures are assigned to the correct FFY award. RSA uses the financial information reported by the grantee to determine each VR agency's compliance with fiscal requirements (e.g., reservation of funds, matching, MOE, etc.). Therefore, if the grantee is not assigning obligations and expenditures to the correct FFY, in accordance with the period of performance requirements, RSA is unable to determine, with certainty, the grantee's compliance with these Federal requirements.

Because issues identified in this area significantly affect other areas of the fiscal review, if substantive issues related to period of performance are identified, this area will become a primary focus area for the fiscal review.

Questions:

1. Identify the State's requirements for determining when funds are considered obligated.
2. Identify the VR agency's internal control processes for tracking and reporting non-Federal and Federal obligations and expenditures to the correct FFY award. This includes a review of the fiscal data elements used by the VR agency to ensure tracking and alignment of obligations and expenditures to the correct FFY award. Specific areas for review include, but are not limited to—
 - Authorizations for consumer services;
 - Administrative costs (e.g., rent, utilities, personnel salaries, travel); and
 - Contracts (short-term and long-term).
3. Identify the process used to ensure alignment of the obligations and expenditures to the appropriate FFY award.
4. Identify how the agency ensures obligations are liquidated within the period of performance or subsequent 90-day liquidation period.

5. Describe the agency's internal control processes for calculating, and ensuring the accuracy of, the Federal and non-Federal share of obligations and expenditures reported on the SF-425.
6. How can these processes and procedures be improved?

C. Match (non-Federal share)—VR and Supported Employment programs

VR Program

This area assesses the matching requirements for the VR program. It includes an assessment of whether the matching level was met, as well as whether the sources of match were consistent with Federal requirements. Because match is the basis for determining a State's compliance with the VR program MOE requirements (34 C.F.R. § 361.62(a)), review of this area may include MOE when issues are identified.

VR program implementing regulations require that the State must incur a portion of expenditures under the VR services portion of the Unified or Combined State Plan from non-Federal funds to meet its cost sharing requirements (34 C.F.R. § 361.60). The required Federal share for expenditures made by the State, including expenditures for the provision of VR services and the administration of the VR services portion of the Unified or Combined State Plan, is 78.7 percent. The State's share is 21.3 percent.

RSA staff will address requirements pertaining to the following sources of non-Federal share used by the State as the match for the VR program:

- State appropriations and interagency transfers;
- TPCAs;
- Establishment projects; and
- Randolph-Sheppard set-aside.

Prior to the on-site review, RSA will ask the VR agency to identify the sources and amounts of match contributed by the VR agency, by FFY, for the period under review. Additionally, RSA will request the agency's internal control processes for ensuring that only allowable expenditures are reported as the match.

State Appropriations and Interagency Transfers

Resources: Federal Financial Reports and agency documentation of non-Federal expenditures

Match from State appropriations include obligations and expenditures from funds appropriated by the State to the DSA or designated State unit (DSU) to pay the State's share of program expenditures. This source may include State expenditures made on behalf of the program from a central account or other State department. For example, a State pays for personnel fringe benefits and indirect costs from a central pool of State funds. The actual State expenditures from this pool for VR staff providing allowable VR services would be treated as State appropriated funds.

This area includes non-Federal funds transferred to or otherwise under the control of the VR agency, so long as the VR agency maintains control over the determination of eligibility, the provision of services, and the allocation and expenditure of the funds.

Questions:

7. What are the sources and amounts of State appropriations reported as the match by the VR agency, by FFY, for the period under review?
8. What are the agency's internal control processes for ensuring that only allowable expenditures are reported as the match? How can these processes be improved?

Third-Party Cooperative Arrangements (TPCAs)

Resources: Documentation related to TPCAs (e.g., contracts, agreements, and invoices), and TPCA review instrument in Appendix E of this MTAG

TPCAs are agreements between the VR agency and other State or local public agencies (referred to as cooperating agencies). TPCAs allow the VR agency to utilize a third party to provide VR services to applicants of, or recipients of services from, the VR program. Services are typically provided by cooperating agency staff, and may not be provided by VR counselors or other VR agency staff. The review of TPCAs includes those for the provision of pre-employment transition services.

The RSA review team will complete the TPCA review instrument in Appendix E of the MTAG to assess consistency of TPCAs with the requirements of 34 C.F.R. § 361.28. This includes the agency's process for ensuring that TPCA costs are allocable to the VR program in accordance with the relative benefits received (2 C.F.R. § 200.405).

Establishment Projects

Resources: Policies related to establishment projects, establishment project contracts or agreements; comprehensive statewide needs assessment; VR services portion of the Unified or Combined State Plan.

This area assesses fiscal accountability for VR funds used for the establishment, development, or improvement of a public or non-profit CRP to provide VR services to applicants and eligible individuals of the VR program that promote integration into the community and competitive integrated employment, including supported employment and customized employment (Section 103(b)(2) of the Rehabilitation Act and 34 C.F.R. § 361.49(a)(1)). The VR agency must evaluate the needs of VR participants in the CSNA (34 C.F.R. § 361.29) to determine whether the VR agency can establish, develop, or improve a public or non-profit CRP (34 C.F.R. § 361.5(c)(16) and (17), and 34 C.F.R. § 361.49). The need to establish, develop, or improve a CRP, along with goals and priorities and strategies to address the need, must be reported in the VR services portion of the Unified or Combined State Plan.

The questions below address the pre-planning requirements, as well as the use of non-Federal funds earmarked for establishment projects (34 C.F.R. § 361.60(b)(3)(i)).

Questions:

9. Identify any contracts or agreements the agency has regarding the establishment, development, or improvement of a public or non-profit CRP. For these agreements, specify—
 - Where the CSNA incorporates the need to establish, develop, or improve a public or non-profit CRP;
 - The goals and priorities and strategies related to each establishment project;
 - How the agency determined the amount of funds to be contributed toward the project, including the source of the non-Federal funds (e.g., VR agency State appropriation, CRP non-Federal funds);
 - How the agency and CRP will ensure that only allowable applicants or recipients of VR services receive VR services from the establishment project; and
 - Identify the process the agency used to ensure that all pertinent Federal requirements were addressed, such as the requirement that the Federal share of the cost of construction for the facilities for a FFY will not exceed an amount equal to 10 percent of the State's allotment under Section 110 for such year (Section 101(a)(17)(A) of the Rehabilitation Act) and that the Federal share for expenditures made for the construction of a facility for CRP purposes may not be more than 50 percent of the total cost of the project (34 C.F.R. § 361.60(a)(2)).

Randolph Sheppard Set Aside

Resources: Agency documentation of set-aside expenditures, Report of Vending Facility Program (RSA-15)

For purposes of the VR program, the Business Enterprise Program (BEP) includes the vending facility program conducted by the State in accordance with the Randolph-Sheppard Act (20 U.S.C. § 701, et. seq.). VR regulations at 34 C.F.R. § 361.49(a)(5) permit the following BEP-related services as “services to groups” under the VR program:

- Management services and supervision provided by the State unit;
- The acquisition by the State unit of vending facilities or other equipment (including costs incurred to ready the site or equipment to serve its purpose or additional space acquired to expand a vending facility);
- Initial stocks and supplies not to exceed six months; and
- Initial operating expenses. (e.g., rent and utilities) not to exceed six months.

These VR activities may be paid with non-Federal funds used for match purposes under the VR program. The source of non-Federal funds may be expenditures paid with funds set aside under the Randolph-Sheppard program.

Questions:

10. Identify how the agency tracks obligations and expenditures from set-aside funds.
11. Identify the agency's internal control processes for ensuring that only allowable set-aside expenditures are reported as match. How can these processes be improved?

Supported Employment Program

Resources: Federal Financial Reports and agency documentation of non-Federal expenditures. This area assesses the matching requirements for the Supported Employment program. It includes an assessment of whether the matching level was met, as well as whether the sources of the match were consistent with Federal requirements. Supported Employment program regulations require that the State expend 50 percent of its total Supported Employment allotment for the provision of supported employment services, including extended services, to youth with the most significant disabilities. The Supported Employment funds required to be reserved and expended for services to youth with the most significant disabilities are awarded through the SE-B grant award. The Federal share for expenditures from the State's SE-B grant award is 90 percent. The statutorily required 10 percent match requirement applies to the costs of carrying out the provision of supported employment services, including extended services, to youth with the most significant disabilities. This means that the 10 percent is applied to total expenditures, including both the Federal and non-Federal shares, incurred for this purpose, and that the non-Federal share must also be spent on the provision of supported employment services, including extended services, to youth with the most significant disabilities.

Questions:

12. For the SE-B award, identify the sources and amounts of match reported by the VR agency, by FFY, for the period under review.
13. Describe the agency's internal control processes for ensuring that only allowable expenditures are reported as the match. In particular, how does the agency ensure that only expenditures for the provision of supported employment services, including extended services, to youth with the most significant disabilities are counted as the match? How can these processes be improved?

D. Prior Approval

Resources: Policies and procedures regarding prior approval, including procedures for identifying items that require approval and the process for obtaining prior approval

The review team will examine internal controls the grantee has implemented to ensure prior approval is attained when specifically required for allowability. The Uniform Guidance (2 C.F.R. § 200.407) requires prior written approval (prior approval) for various grant award activities and proposed obligations and expenditures. Prior approval comes from a Department official who is authorized to approve a proposed expenditure.

Questions:

14. What are the agency's internal control processes for ensuring that prior approval is obtained where required? How can these processes be improved?
15. Since FFY 2017, has the agency paid any expenditure for which prior approval was specifically required for allowability? If so, did the grantee request and receive prior written approval from RSA before making the expenditure?

E. Vendor Contracts

Resources: Policies and procedures regarding contracting, including determining the rates of the payment, and contract monitoring; vendor contracts

Three areas related to vendor contracts will be reviewed:

- Determining rates of payment;
- Supporting documentation for payments; and
- Contract monitoring.

This review area includes contracts for the provision of pre-employment transition services.

Questions:

16. Identify the agency's internal control processes related to determining rates of payment for services and ensuring that contract payments are reasonable.
17. Identify the agency's internal control processes for ensuring there is sufficient supporting documentation to determine the payment requested was for allowable VR services and consistent with the provisions of the contract.
18. Identify the agency's contract monitoring processes and the outcomes of contract monitoring.
19. How can these processes be improved?

F. Technical Assistance

The following questions are designed to assess the quality of the technical assistance provided by RSA and the OSEP and RSA-funded technical assistance centers, as well as to identify the ongoing technical assistance needs of the VR agency.

20. What technical assistance needs does the VR agency have on any issue or topic related to this focus area?
21. Has the VR agency received technical assistance from RSA staff on any issue or topic related to this focus area? If so, please describe the nature of the technical assistance provided.

22. Has the VR agency received technical assistance from one or more of the RSA-funded technical assistance centers on a topic or issue related to this focus area? If so, from which center? Was the technical assistance universal, targeted, or intensive? Please describe the technical assistance received. What were the objectives/results?
23. Did the technical assistance provided by RSA and RSA-funded centers aid the VR agency in correcting or improving its delivery of services to individuals with disabilities?

VI. Focus Area—Implementation of Workforce Innovation and Opportunity Act Joint Provisions

A. Nature and Scope

The Departments of Education and Labor issued the Workforce Innovation and Opportunity Act (WIOA) Joint Rule for Unified and Combined State Plans, Performance Accountability, and the One-Stop System Joint Provisions Final Rule (Joint WIOA Final Rule) to implement Title I of WIOA. These joint regulations apply to all core programs of the workforce development system established by Title I of WIOA and the joint regulations are incorporated into the VR program regulations through subparts D, E, and F of 34 C.F.R. part 361.

WIOA strengthens the alignment of the public workforce development system's six core programs by compelling unified strategic planning requirements, common performance accountability measures, and requirements governing the one-stop delivery system. WIOA places heightened emphasis on coordination and collaboration at the Federal, State, local, and Tribal levels to ensure a streamlined and coordinated service delivery system for job seekers, including those with disabilities, and employers.

B. WIOA Shared Monitoring Guide

Beginning in FFY 2017, the Departments of Labor (DOL), Education, and Health and Human Services (HHS) formed an interagency workgroup with the purpose of developing the WIOA Shared Monitoring Guide (the Guide). The Guide identifies compliance requirements that are shared among the core partner programs, as well as additional questions that may be used to assess State progress and provide information about State implementation of WIOA. The Guide is intended to allow Federal partners to more uniformly and consistently conduct program-specific monitoring reviews of WIOA's six core programs at the State and local levels and coordinate technical assistance efforts across the core programs. The six core programs are the—

- Adult, Dislocated Worker, and Youth programs, authorized under WIOA Title I and administered by DOL's Employment and Training Administration (ETA);
- Adult Education and Family Literacy Act (AEFLA) program, authorized under WIOA Title II and administered by the Department of Education's Office of Career, Technical and Adult Education (OCTAE);
- Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA Title III and administered by ETA; and
- VR program authorized under Title I of the Rehabilitation Act, as amended by WIOA Title IV, and administered by RSA.

Federal partners also developed a set of standard operating procedures (SOPs) to guide how each Federal agency will share information garnered from monitoring processes with each other. These SOPs include directions for sharing monitoring tools (e.g., the FFY 2019 MTAG), schedules, points of contact, draft compliance findings and technical assistance summaries, which may affect other Federal partners, and final monitoring reports. The SOPs also delineate

how Federal partners will review and signal concurrence on issues resulting from one another's monitoring review before final monitoring reports are issued.

Beginning in FFY 2018, ETA, OCTAE, and RSA incorporated the content of the Guide into their program-specific monitoring tools and implemented the SOPs for communicating with Federal partners related to monitoring. Therefore, RSA is incorporating the Guide as a focus area in the FFY 2019 MTAG. This focus area consists of the following topical areas contained in Appendix G, which includes both qualitative questions and compliance sections—

- WIOA Partnership;
- Governance;
- One-Stop Operations; and
- Performance Accountability.

To gather information pertinent to these topics, RSA staff will review a variety of documents including the PY 2016 Unified or Combined State Plan and the PY 2018 modifications to the State Plan; Memoranda of Understanding (MOUs) including the One-Stop Center Operating Budget and Infrastructure Funding Agreement (IFA) related to the one-stop service delivery system; and other supporting documentation related to the four topical areas.

The review team will also explore the VR agency's implementation strategies and provide technical assistance to improve the VR agency's performance related to the joint provisions in these four areas.

APPENDIX A

Vocational Rehabilitation Program

Accountability Model

I. Background

To monitor the VR program in a manner consistent with Section 107 of the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by Title IV of the Workforce Innovation and Opportunity Act (WIOA), and the Department of Education's (Department) policies, and to address technical assistance needs of VR agencies, the State Monitoring and Program Improvement Division (SMPID) within the Rehabilitation Services Administration (RSA), developed an accountability model to enable it to carry out monitoring activities while increasing the effective use of its resources to administer the VR program. The model is consistent with guidelines set forth in the Department's Directive titled "Guide for Managing Formula Grant Programs," dated August 26, 2016.

II. Federal Fiscal Year (FFY) 2019 Accountability Model

The FFY 2019 accountability model is comprised of four programmatic and two fiscal factors, for a total of six performance indicators, as follows:

- The State percentage of individuals determined eligible for the VR program who received VR services;
- The State percentage of individuals determined eligible for the VR program who received VR services and achieved competitive integrated employment outcomes;
- The State median weekly earnings of individuals who received VR services and achieved competitive integrated employment outcomes;
- The State percentage of eligible individuals who received VR services and who achieved measurable skill gains;
- The amount of the State formula award allotment for the VR program as a percentage of the total Federal appropriation for the VR program; and
- The State percentage of the required non-Federal share (match) provided for the VR program based upon the State's formula award allotment.

All data are computed on a State basis to align the RSA accountability model with the principles in Title I of WIOA, under which core partners in the workforce development system, including VR agencies, will be required to develop performance targets and report the Annual State Performance Report at the State level. This method also will ensure comparability between States with one combined agency and States with more than one VR agency (general and blind). In making the calculations, SMPID will review data reported on RSA collection instruments, including the Case Service Report (RSA-911) and the Financial Status Report (SF-425) for the most recent period for which complete data are available. To ensure the completeness and reliability of the data submitted by all VR agencies, SMPID staff conduct edit checks on the data reported through the RSA collection instruments. Therefore, the data used in the calculation of

the factors comprising the FFY 2019 model are accurate and reliable. Importantly, the data elements used in the calculation of the factors are not subjective in nature, further reducing the likelihood of errors.

III. Description of Factors

The six factors to be analyzed through the model are described more fully below, including the basis for their use, the methods of calculation, and threshold levels of performance equating with numerical scores.

A. State percentage of individuals determined eligible for the VR program who received VR services

Basis: VR services assist individuals with significant disabilities to achieve greater independence and self-sufficiency through employment outcomes in competitive integrated employment or supported employment. When determining individuals eligible for services, VR agencies commit to serving individuals in a timely and effective manner. This factor is designed to assess VR agency performance with respect to the efficient and effective identification and engagement in the VR process of those individuals who require VR services to achieve employment.

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for program year (PY) 2017—

- Identify the total number of individuals determined eligible for the VR program for each agency. Combine data for States with two VR agencies;
- Identify the total number of eligible individuals who received VR services from the agency. Combine data for States with two VR agencies;
- Obtain a percentage by dividing the total number of eligible individuals who received VR services by the total determined eligible for the VR program. Multiply this number by 100; and
- Rank each State from high to low. Divide the position number in this ranking by the number of States—55, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 55, the risk percent would be 40 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represent the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

B. State percentage of individuals determined eligible for the VR program who received VR services and achieved competitive integrated employment outcomes

Basis: This factor builds upon the information obtained through the calculation of the previous factor and further measures a State's ability to provide eligible individuals with the training and skills necessary to achieve an employment outcome.

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for PY 2017—

- Identify the total number of individuals found eligible for the VR program and who received VR services in each State. Combine data for States with two VR agencies;
- Identify the total number of eligible individuals who received VR services and who achieved a competitive integrated employment outcome in the State. Combine data for States with two VR agencies;
- Obtain a percentage by dividing the total number of eligible individuals who received VR services and who achieved a competitive integrated employment outcome by the total determined eligible and who received VR services. Multiply this number by 100; and
- Rank each State from high to low. Divide the position number in this ranking by the number of States, 55, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 55, the risk percent would be 40 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

C. State median weekly earnings for individuals who received VR services and achieved competitive integrated employment outcomes

Basis: The performance of the VR program can be assessed in terms of the quality of the employment outcomes achieved by individuals with disabilities. The median earnings of individuals who achieved competitive integrated employment demonstrate the ability of the VR program to assist individuals to achieve high quality competitive integrated employment, thereby enhancing their ability to attain self-sufficiency.

Method of Calculation: To calculate this factor using data reported through the RSA-911 for PY 2017—

- Determine the total number of individuals who achieved competitive employment.³ Combine the data for States with two VR agencies;
- For each individual who achieved competitive employment, identify the weekly earnings at closure of the service record;
- List the weekly earnings for each individual from the lowest to the highest value. The value in the middle of this list is the median weekly earnings value, with the same quantity of values above the median value as below. If the total number of individuals in the list is even, calculate the median by adding the two middle values together and dividing by two; and
- Rank the median weekly earnings value from each State from high to low. Divide the position number in this ranking by the number of States, 55, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 55, the risk percent would be 40 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

D. State percentage of eligible individuals who received VR services and who achieved measurable skill gains

Basis: The performance of the VR program can be assessed in terms of the percentage of eligible individuals who received VR services who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who achieved measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. Section 116 of WIOA establishes performance accountability indicators to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served by the workforce development system's six core programs, including the VR program.

³ For the purpose of reporting data on the RSA-911, individuals are considered to have achieved competitive integrated employment if they exited the VR program after an IPE in competitive and integrated employment or supported employment (Type of Exit=6)

Method of Calculation: To calculate performance on this factor using data reported on the RSA-911 for PY 2017—

- Identify the total number of eligible individuals who received VR services and who achieved measurable skill gains in each State. Combine data for States with two VR agencies;
- Identify the total number of eligible individuals who received VR services and who did achieve measurable skill gains. Combine data for States with two VR agencies;
- Obtain a percentage by dividing the total number of eligible individuals who received VR services and who achieved measurable skill gains by the total number of eligible individuals who received VR services and who did not achieve measurable skill gains. Multiply this number by 100; and
- Rank each State from high to low. Divide the position number in this ranking by the number of States, 55, and multiply by 100 to determine the percent. For example, if an agency was ranked 22 out of 55, the risk percent would be 40 percent.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Percent	Risk Score
0-20	1
21-40	2
41-60	3
61-80	4
81-100	5

E. Amount of the State formula award allotment for the VR program

Basis: Use of this factor is consistent with the guidelines contained in the Guide for Managing Formula Grants (ODS: 1-102) issued by the Department on August 26, 2016. States allotted a greater amount of the total Federal formula award potentially possess a greater amount of financial resources with which to assist a larger number of individuals with disabilities to achieve employment. Consequently, these States can have a more significant effect on VR program performance nationally.

Method of Calculation: To calculate fiscal performance on this factor using the allocation for FFY 2018—

- This calculation is based on the State's formula award allotment and is not adjusted to account for reallocation, Maintenance of Effort penalties, or other changes to the allotment.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk.

Formula Grant Award Amount	Risk Score
0- \$9,999,999	1
\$10,000,000 - \$29,999,999	2
\$30,000,000 - \$59,999,999	3
\$60,000,000 - \$99,999,999	4
≤ \$100,000,000	5

F. State percentage of the required non-Federal share (match) provided for the VR program based upon the State’s formula award allotment

Basis: To access Federal VR program funds necessary for the provision of services to VR consumers, a State must be able to provide the required non-Federal share. The inability to match Federal funds results in a reduction of agency resources needed to serve consumers and achieve program goals.

Method of Calculation: To calculate fiscal performance on this factor using data reported on the SF-425 for FFY 2017—

- The calculation for States with combined agencies is made by dividing the agency non-Federal share provided at the end of the award period by the amount of non-Federal share required to match the agency’s formula award amount. The calculation for States with two VR agencies is derived by dividing the sum of the non-Federal share provided for both agencies by the end of the award period by the amount of non-Federal share required to match the State’s total formula allotment.

Scoring Thresholds: Assign numerical scores based on the table below. 1 represents the lowest risk; 5 represents the highest risk. States that provided non-Federal funds equal to or greater than 100 percent of the required non-Federal share are assigned a score of 1.

Percent of Match	Risk Score
100<	1
90-99.9	2
80-89.9	3
70-79.9	4
<70	5

IV. Method to Determine Level of Monitoring

While the described calculations will be performed for each State on an annual basis, resulting in a State’s overall score, only a portion of States will be selected for review in each Federal fiscal year in a manner that ensures States with higher scores and most in need of technical assistance are scheduled earlier in the review cycle. To select the States for review in FFY 2019, SMPID will add the State scores for each of the factors and divide by 6 to calculate an average State program accountability score ranging from 1.00 to 5.00.

A. On-Site Monitoring

SMPID will conduct comprehensive on-site monitoring of a select number of State VR agencies with higher accountability scores during each year of the six-year monitoring cycle (FFY 2017 through FFY 2022) to review the programmatic and fiscal performance of the VR and Supported Employment programs.

Scope: This monitoring will entail implementation of all the focus areas comprising the monitoring protocol for each FFY.

In FFY 2019, those focus areas will include—

- Performance of the State Vocational Rehabilitation Services and State Supported Employment Services Programs;
- Pre-Employment Transition Services for Students with Disabilities;
- Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs; and
- Joint Workforce Innovation and Opportunity Act Final Rule Implementation.

Monitoring Team and Activities: The monitoring team, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to all focus areas in preparation for an on-site visit, typically lasting for one week.

B. Off-Site Monitoring

SMPID may conduct off-site monitoring of a select number of State VR agencies with lower accountability scores during each year of the monitoring cycle (FFY 2017 through FFY 2022) to review the programmatic and fiscal performance of the VR and Supported Employment programs.

Scope: This monitoring will entail implementation of a select number of the focus areas comprising the monitoring protocol for each FFY.

In FFY 2019, those focus areas will include—

- Performance of the State Vocational Rehabilitation Services and State Supported Employment Services Programs (excluding service record reviews);
- Pre-Employment Transition Services for Students with Disabilities; and
- Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs

Monitoring Team and Activities: The monitoring team, consisting of at least two program members and one fiscal member, will review documentation and conduct teleconferences related to the focus areas.

C. Targeted Monitoring

SMPID may conduct targeted monitoring of States or individual VR agencies as warranted by the scores on individual accountability factors.

Scope: This monitoring will entail implementation of select focus areas related to VR program programmatic or fiscal performance. SMPID will determine the specific topics based on the VR agency's program and fiscal data and responses to a general pre-monitoring questionnaire.

Monitoring Team and Activities: The monitoring team, typically consisting of one program and one fiscal member, will review documentation and conduct teleconferences related to these components in preparation for an on-site visit lasting for two to three days. In addition, the monitoring team may engage in all monitoring activities with the VR agency using teleconferences or videoconferences when available when financial resources are limited.

Additionally, on-site, off-site, and targeted monitoring will involve the identification of strategies designed to improve program and fiscal performance.

APPENDIX B

Vocational Rehabilitation Agency Required Documents

The review team will use documentation provided by the VR agency to inform the development of the on-site agenda and in the review of each focus area. In accordance with 2 C.F.R. § 200.336 (a), records of non-Federal entities, the “Federal awarding agency, Inspectors General, the Comptroller General of the United States, and the pass-through entity, or any of their authorized representatives, must have the right of access to any documents, papers, or other records of the non-Federal entity which are pertinent to the Federal award, in order to make audits, examinations, excerpts, and transcripts. The right also includes timely and reasonable access to the non-Federal entity’s personnel for the purpose of interview and discussion related to such documents.” In accordance with 34 C.F.R. § 81.34(b)(3), “a statement that the recipient failed to maintain records required by law or failed to allow an authorized representative of the Secretary access to those records constitutes a prima facie case for the recovery of the funds affected.”

VR agencies are responsible for submitting the requested documentation at least 30 days prior to the onsite review date unless the review team approves a later date based upon extenuating circumstances. When submitting requested documentation, please remember the following:

1. Do not include personally identifiable information (e.g., names, Social Security numbers, dates of birth, etc.);
2. Send copies of signed, executed documents for the last completed Federal fiscal year (FFY);
3. “Contract,” as used in this list, means an agreement or promise with another entity to provide goods or services in exchange for VR or Supported Employment funds. These agreements may be referred to as memoranda of understanding, memoranda of agreement, letters of understanding, letters of agreement, grants, agreements, contracts, purchase orders, or service authorizations;
4. If a particular request is not applicable to the VR agency, or if the information is not otherwise available, include a statement letting the review team know;
5. If the data being submitted contains State or agency specific codes or titles, please include a reference sheet that provides an explanation of the code or title to facilitate review;
6. Submit the requested information as soon as it is available. It is not necessary to submit all the documentation at one time. Submitting the information to the review team as soon as possible helps ensure there is adequate time to review the documentation prior to the on-site visit;

7. Provide fiscal data by Federal fiscal year (FFY), not State fiscal year or program year; and
8. Label each document submitted with the corresponding number used in the Document Request.

After the initial information has been submitted, the RSA Financial Management Specialist may need to request additional supporting fiscal documents or clarifying information related to the document submission categories in order to complete the review process. Prior to the review, the team's Financial Management Specialist will work with the VR agency to determine the number of documentation samples being requested and the timeframe from which the samples should be taken (e.g., contracts, third-party cooperative arrangements, etc.).

Note: Many agencies have established collaboration websites where RSA review team members can access and download the requested documentation. Please coordinate with the review team if this is an approach your agency may wish to utilize. The Department does not currently have the capability to provide this service.

DOCUMENTATION REQUEST

III. Performance of the State VR and Supported Employment Programs	Date Submitted
1. Policies and procedures regarding the case service record (RSA-911) internal control process (e.g., ensuring data accuracy, reliability, and timely submission).	
2. Case file description or table of contents.	
3. Draft or issued policies related to the achievement of employment outcomes in competitive integrated employment and supported employment.	
4. Draft or issued policies related to the provision of customized employment services necessary to assist an eligible individual to achieve an employment outcome in customized employment.	
5. Draft or issued policies related to assisting eligible individuals to achieve employment outcomes.	
IV. Pre-Employment Transition Services for Students with Disabilities	Date Submitted
1. State educational agency (SEA) and local educational agency (LEA) agreements.	
2. Draft or issued policies for the provision of pre-employment transition services.	
3. Third-party cooperative arrangement and fee-for-service agreements/contracts for the provision of pre-employment transition services.	
4. Work-based learning agreement.	
5. Draft or written procedures for tracking data related to the provision of pre-employment transition services.	
6. Identification or documentation of the minimum and maximum age students with disabilities are eligible to receive pre-employment transition services.	
V. Financial Management of the State Vocational Rehabilitation Services and State Supported Employment Services Programs	Date Submitted
1. Period of Performance	
A. Documentation that identifies State requirements for the assignment, tracking and reporting of non-Federal and Federal obligations and liquidation of expenditures.	
B. Policies and procedures that outline the process for assignment of non-Federal and Federal obligations and expenditures to the correct period of performance for a FFY award for authorizations/purchase orders, contracts, personal salaries, rent, utilities, etc.	
i. Description of tracking system (e.g., program or cost objective coding) that demonstrates how obligations and expenditures are assigned, tracked and reported.	
C. Supporting documentation of control activities that demonstrate how the process for assigning, tracking, liquidating, and reporting of obligations and expenditures meet period of performance requirements.	

D. Policies and procedures for ensuring the accurate and timely submission of Federal financial reports (SF-425).	
E. Supporting documentation for SF-425 data submitted. RSA financial management specialists will work with agencies to determine the reports for which to submit the supporting documentation.	
2. Match in VR and Supported Employment Programs For FFYs 2016 to 2018 provide dollar amounts (\$) for the following sources of non-Federal share (match), for each program per FFY	Date Submitted
A. Sources for VR and Supported Employment:	
i. State appropriations.	
ii. Interagency transfers.	
iii. Third-party cooperative arrangements.	
iv. Randolph-Sheppard program set-aside (VR Program Only).	
v. Construction/Establishment expenditures - not included in State appropriations (VR Program Only).	
vi. Other (e.g., non-Federal grants, donations, local funds, etc.).	
B. Third-Party Cooperative Arrangements (TPCA):	
i. Policies and procedures regarding TPCAs (including for the provision of pre-employment transition services).	
ii. Contracts/agreements.	
iii. Supporting documentation (e.g., cooperating agency personnel activity reports/work logs, monthly progress reports, invoices, etc.).	
C. Establishment Projects (VR Program Only):	
i. Policies and procedures regarding establishment projects, including pre-planning.	
ii. Requirements, demonstration of the need for establishment and reflection of goals and priorities in the VR services portion of the Unified or Combined State plan.	
iii. Contracts/agreements.	
iv. Supporting documentation (e.g., progress reports, invoices, etc.).	
D. Randolph-Sheppard Set-Aside Funds:	
i. Policies and procedures regarding the VR agency's use of Randolph-Sheppard set-aside.	
ii. Funds as match in the VR program.	
iii. Supporting documentation that demonstrates only allowable set-aside fund expenditures are counted as match for the VR program (DSU management services and supervision.	
iv. Acquisition by DSU of vending facilities or equipment; initial stocks and supplies not to exceed six months; and initial operating expenses not to exceed six months).	

3. Prior Approval	Date Submitted
Policies and procedures regarding prior approval, including procedures for identifying items that require approval and the process for obtaining prior approval.	
4. Vendor Contracts and Agreements <i>For each sample provided, when applicable, include the: announcement, requests for proposal/bid, original contract, amendments, invoices, payment approval, monthly and quarterly reports, verification of performance, corrective actions, final output, and reconciliation. Contact your RSA review team fiscal representative to identify what contract sample sets to send.</i>	Date Submitted
A. Procurement policies and procedures used by the State in procuring VR and Supported Employment goods or services, including requirements for requests for proposal, etc.	
B. Contracts used to purchase VR services, including pre-employment transition services (purchased services). Please see note in italics in general heading 3 above about the number and service type of contract documentation to send.	
C. Policies and procedures regarding contract monitoring.	
D. Samples of completed contract monitoring from the sample set of contracts provided, when available.	
VI. Implementation of Workforce Innovation and Opportunity Act Joint Provisions	Date Submitted
<ol style="list-style-type: none"> 1. A current listing of the membership of the State Workforce Development Board. 2. A current listing of the membership of each Local Workforce Development Board that identifies the individual representing the VR program. 3. Copies of any Local Plans or Regional Plans developed by any of the Local Workforce Development Boards. 4. Documentation that outlines how the VR agency provides access to the VR program in each of the comprehensive one-stop centers in the State. 5. Documentation that outlines which affiliate sites or specialized one-stop centers, as applicable, the VR agency partners with to provide access to the VR program. 	

APPENDIX C

Vocational Rehabilitation Services and State Supported Employment Program Performance Tables

Table 1—[AGENCY] VR Agency Profile (PY 2017)

Table 2— [AGENCY] Summary Statistics from RSA 113 (FFYs 2016-2018)

Table 3—[AGENCY] Number and Percentage of Participants Served by Primary Disability Type (PY 2017)

Table 4—[AGENCY] Number and Percentage of Individuals Exiting at Various Stages of the VR Process {PY 2017)

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Table 11—[AGENCY] Number of Students with Disabilities Reported, and the Number and Percentage of Students with Disabilities Who Received Pre-Employment Transition Services (PY 2017)

Table 12—[AGENCY] Number and Percentage of Required Pre-Employment Transition Services Provided (PY 2017)

Table 1—[AGENCY] VR Agency Profile (PY 2017)

VR Agency Profile Data	Number/Percentage
Employment Rate	
Number of Participants Exiting in Competitive Integrated Employment or Supported Employment	
Measurable Skill Gains Performance Indicator	
Percentage of Participants Eligible for Measurable Skill Gains	
Percentage of Timely Eligibility Determinations	
Percentage of Eligibility Determination Extensions	
Percentage of Timely IPE Development	
Number of Applicants	
Number of Individuals Determined Eligible	
Number of Individuals with an IPE and No VR Services Provided	
Number of Participants (with an IPE and VR Services Provided)	

Calculation Table 1: VR Agency Profile (PY 2017)

VR Agency Profile Data	Number/Percentage
Employment Rate	RSA-911: (Total individuals with Data Element 354 Type of Exit = 6 divided by Total individuals with Data Element 354 Type of Exit = 4 or 6) multiplied by 100
Number of Individuals Exiting in Competitive Integrated Employment or Supported Employment	RSA-911: Total individuals with Data Element 354 Type Of Exit = 6
Measurable Skill Gains Performance Indicator	Amended Joint Performance Specs: Item 32 for PY
Percentage of Participants Eligible for Measurable Skill Gains	(Amended Joint Performance Specs: Item 31 for PY divided by total number of participants for PY) multiply by 100
Percentage of Timely Eligibility Determinations	RSA-911: (Total individuals with Data Element 38 Date of Eligibility Determination during the PY and Data Element 39 Eligibility Determination Extension = 0 where Data Element 38 minus Data Element 7 Date of Application is less than or equal to 60 days divided by Total individuals with Data Element 38 during the PY and Data Element 39 = 0) multiplied by 100
Percentage of Eligibility Determination Extensions	RSA-911: (Total individuals with Data Element 38 during the PY and Data Element 39 = 1 divided by Total individuals with Data Element 38 during the PY) multiplied by 100
Percentage of Timely IPE Development	RSA-911: (Total individuals with the earlier of Data Element 48 Date of Most Recent or Amended IPE and Data Element 127 Start Date of Initial VR Service On or After IPE during the PY and within 90 days or later of Data Element 38 Date of Eligibility Determination or Data Element 41 Date of Exit from OOS Waiting List, divided by Total individuals with Data Element 48 during the PY) multiplied by 100
Number of Applicants	RSA-911: Total individuals with Data Element 7 Date of Application during the PY
Number of Individuals Determined Eligible	RSA-911: Total individuals with Data Element 38 Date of Eligibility Determination during the PY
Number of Individuals with an IPE and No VR Services Provided	RSA-911: Total individuals with Data Element 48 Date of Most Recent or Amended IPE during the Program Year and Data Element 127 Start Date of Initial VR Service On or After IPE is blank
Number of Participants (with an IPE and VR Services Provided)	Amended Joint Performance Specs: Item 12 during PY

Table 2—[AGENCY] Summary Statistics from RSA-113 (FFYs 2016-2018)

Performance Category	FFY 16	FFY 17	FFY 18
Total Applicants			
Total Eligible Individuals (Before IPE)			
Agency Implementing Order of Selection			
Individuals on Order of Selection Waiting List at Year-End			
Percentage of Eligible Individuals with IPE Who Received No Services			
Individuals with IPE Receiving Services			

Calculation Table 2: Summary Statistics from RSA-113 (FFYs 2016-2018)

Performance Category	Calculation
Total Applicants	RSA-113, 4th quarter: A1 Applicants on hand, October 1 + A2 Applicants this FFY
Total Eligible Individuals (Before IPE)	RSA-113, 4th quarter: A11 Eligible, before plan, on hand, October 1 + A12 Eligible, before plan, this FFY from application + A13 Eligible, before plan, this FFY from trial work + A14 Eligible, before plan, this FFY from OOS
Agency Implementing Order of Selection	RSA-113 column 'Operated Under Order of Selection During Period' or VR services portion of the Unified or Combined State Plan (Description M)
Individuals on Order of Selection Waiting List at Year-end	RSA-113, 4th quarter: A10 On OOS waiting list at end of period
Percentage of Eligible Individuals with IPE Who Received No Services	RSA-113, 4th quarter: [(D3 Closed after eligibility, before IPE developed + D4 Closed after IPE developed, before services initiated + D5 Closed from OOS waiting list) divided by (A11 Eligible, before plan, on hand, October 1 + A12 Eligible, before plan, this FFY from application + A13 Eligible, before plan, this FFY from trial work experience + A14 Eligible, before plan, this FFY from OOS)] multiplied by 100
Individuals with IPE Receiving Services	RSA-113, 4th quarter: C1 Individuals implementing plan, on hand, October 1 + C2 Individuals implementing plan, beginning this FFY

Table 3—[AGENCY] Number and Percentage of Participants Served by Primary Disability Type (PY 2017)

Primary Disability Type by Group	Number of Participants	Percent
Visual		
Auditory or Communicative		
Physical		
Cognitive		
Psychological or Psychosocial		

Detailed Primary Disability Type	Number of Participants	Percent
Blindness		
Other Visual Impairments		
Deafness, Primary Communication Visual		
Deafness, Primary Communication Auditory		
Hearing Loss, Primary Communication Visual		
Hearing Loss, Primary Communication Auditory		
Other Hearing Impairments (Tinnitus, Meniere's Disease, hyperacusis, etc.)		

Detailed Primary Disability Type	Number of Participants	Percent
Deaf-Blindness		
Communicative Impairments (expressive/receptive)		
Mobility Orthopedic/Neurological Impairments		
Manipulation/Dexterity Orthopedic/Neurological Impairments		
Both Mobility and Manipulation/Dexterity Orthopedic/Neurological Impairments		
Other Orthopedic Impairments (e.g., limited range of motion)		
Respiratory Impairments		
General Physical Debilitation (e.g., fatigue, weakness, pain, etc.)		
Other Physical Impairments (not listed above)		
Cognitive Impairments (e.g., impairments involving learning, thinking, processing information and concentration)		
Psychosocial Impairments (e.g., interpersonal and behavioral impairments, difficulty coping)		
Other Mental Impairments		

Calculation Table 3: Number and Percentage of Participants Served by Primary Disability Type (PY 2017)

Primary Disability Type by Group	Number of Participants	Percent
Visual	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 01 or 02	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 01 or 02 divided by total number of participants) multiplied by 100
Auditory or Communicative	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 03, 04, 05, 06, 07, 08, or 09	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 03, 04, 05, 06, 07, 08, or 09 divided by total number of participants) multiplied by 100
Physical	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 10, 11, 12, 13, 14, 15, or 16	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 03, 04, 05, 06, 07, 08, or 09 divided by total number of participants) multiplied by 100
Cognitive	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 17	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 17 divided by total number of participants) multiplied by 100
Psychological or Psychosocial	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 18 or 19	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 18 or 19 divided by total number of participants) multiplied by 100

Detailed Primary Disability Type	Number of Participants	Percent
Blindness	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 01	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 01 divided by total number of participants) multiplied by 100
Other Visual Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 02	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 02 divided by total number of participants) multiplied by 100
Deafness, Primary Communication Visual	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 03	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 03 divided by total number of participants) multiplied by 100
Deafness, Primary Communication Auditory	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 04	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 04 divided by total number of participants) multiplied by 100
Hearing Loss, Primary Communication Visual	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 05	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 05 divided by total number of participants) multiplied by 100
Hearing Loss, Primary Communication Auditory	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 06	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 06 divided by total number of participants) multiplied by 100
Other Hearing Impairments (Tinnitus, Meniere's Disease, hyperacusis, etc.)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 07	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 07 divided by total number of participants) multiplied by 100
Deaf-Blindness	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 08	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 08 divided by total number of participants) multiplied by 100
Communicative Impairments (expressive/receptive)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 09	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 09 divided by total number of participants) multiplied by 100
Mobility Orthopedic/Neurological Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 10	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 10 divided by total number of participants) multiplied by 100

Detailed Primary Disability Type	Number of Participants	Percent
Manipulation/Dexterity Orthopedic/Neurological Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 11	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 11 divided by total number of participants) multiplied by 100
Both Mobility and Manipulation/Dexterity Orthopedic/Neurological Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 12	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 12 divided by total number of participants) multiplied by 100
Other Orthopedic Impairments (e.g., limited range of motion)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 13	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 13 divided by total number of participants) multiplied by 100
Respiratory Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 14	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 14 divided by total number of participants) multiplied by 100
General Physical Debilitation (e.g., fatigue, weakness, pain, etc.)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 15	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 15 divided by total number of participants) multiplied by 100
Other Physical Impairments (not listed above)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 16	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 16 divided by total number of participants) multiplied by 100
Cognitive Impairments (e.g., impairments involving learning, thinking, processing information and concentration)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 17	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 17 divided by total number of participants) multiplied by 100
Psychosocial Impairments (e.g., interpersonal and behavioral impairments, difficulty coping)	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 18	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 18 divided by total number of participants) multiplied by 100
Other Mental Impairments	RSA-911: Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 19	RSA-911: (Total number of participants (Data Element 127 Start Date of Initial VR Service On or After IPE not blank) with Primary Disability Data Element 43 Type of Impairment Code = 19 divided by total number of participants) multiplied by 100

Table 4—[AGENCY] Number and Percentage of Individuals Exiting at Various Stages of the VR Process (PY 2017)

Number of Individuals Who Exited the VR Program	
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Exit Type	Number of Individuals	Percent
Individual exited as an applicant, prior to eligibility determination or trial work experience		
Individual exited during or after a trial work experience		
Individual exited after eligibility, but from an order of selection waiting list		
Individual exited after eligibility, but prior to a signed IPE		
Individual exited after an IPE without an employment outcome		
Individual exited after an IPE in noncompetitive and/or nonintegrated employment		
Individual exited after an IPE in competitive and integrated employment or supported employment		
Individual exited as an applicant after being determined ineligible for VR services		
Potentially eligible individual exited after receiving pre-employment transition services and has not applied for VR services		

Supported Employment	Number of Participants
Number of Participants Who Exited with a Supported Employment Outcome in Competitive Integrated Employment	
Number of Participants Who Exited with a Supported Employment Outcome in Noncompetitive and/or Nonintegrated Employment	

Calculation Table 4: Number and Percentage of Individuals Exiting at Various Stages of the VR Process (PY 2017)

Number of Individuals Who Exited the VR Program	RSA-911: Total number of individuals where Data Element 353 Date of Exit within PY
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Exit Type	Number of Individuals	Percent
Individual exited as an applicant, prior to eligibility determination or trial work experience	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 0	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 0 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited during or after a trial work experience	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 1	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 1 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after eligibility, but from an order of selection waiting list	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 2	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 2 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after eligibility, but prior to a signed IPE	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 3	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 3 divided by Number of Individuals Who Exited the VR Program) multiplied by 100

Exit Type	Number of Individuals	Percent
Individual exited after an IPE without an employment outcome	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 4	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 4 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after an IPE in noncompetitive and/or nonintegrated employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 5	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 5 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited after an IPE in competitive and integrated employment or supported employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 6	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 6 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Individual exited as an applicant after being determined ineligible for VR services	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 7	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 7 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Potentially eligible individual exited after receiving pre-employment transition services and has not applied for VR services	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 8	RSA-911: (Total number of individuals where Data Element 354 Type of Exit = 8 divided by Number of Individuals Who Exited the VR Program) multiplied by 100

Supported Employment	Number
Number of Individuals Who Exited with a Supported Employment Outcome in Competitive Integrated Employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 6 and Data Element 356 Employment Outcome at Exit = 5
Number of Individuals Who Exited in Supported Employment with Noncompetitive and/or Nonintegrated Employment	RSA-911: Total number of individuals where Data Element 354 Type of Exit = 5 and Data Element 356 Employment Outcome at Exit = 5

Table 5—[AGENCY] Number and Percentage of Individuals Exiting by Reason during the VR Process (PY 2017)

Reason for Exit	Number of Individuals	Percent
Individual is No Longer Available for Services Due to Residence in an Institutional Setting Other Than a Prison or Jail		
Health/Medical		
Death of Individual		
Reserve Forces Called to Active Duty		
Foster Care		
Ineligible after determine eligible		
Criminal Offender		
No Disabling Condition		
No Impediment to Employment		
Does Not Require VR Service		
Disability Too Significant to Benefit from Service		
No Long Term Source of Extended Services Available		
Transferred to Another Agency		
Achieved Competitive Integrated Employment Outcome		
Extended Employment		
Extended Services Not Available		
Unable to Locate or Contact		
No Longer Interested in Receiving Services or Further Services		
All Other Reasons		
Number of Individuals Who Exited the VR Program		-

Calculation Table 5: Number and Percentage of Individuals Exiting by Reason during the VR Process (PY 2017)

Reason for Exit	Number	Percent
Individual is No Longer Available for Services Due to Residence in an Institutional Setting Other Than a Prison or Jail	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 1	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 1 divided by Number of Individuals Who Exited the VR Program (Data Element 353 Date of Exit within PY)) multiplied by 100
Health/Medical	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 2	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 2 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Death of Individual	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 3	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 3 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Reserve Forces Called to Active Duty	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 4	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 4 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Foster Care	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 5	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 5 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Ineligible after determine eligible	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 6	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 6 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Criminal Offender	RSA-911: Total number of	RSA-911: (Total number of individuals where

Reason for Exit	Number	Percent
	individuals where Data Element 355 Reason for Exit = 7	Data Element 355 Reason for Exit = 7 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Disabling Condition	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 8	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 8 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Impediment to Employment	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 9	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 9 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Does Not Require VR Service	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 10	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 10 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Disability Too Significant to Benefit from Service	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 11	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 11 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Long Term Source of Extended Services Available	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 12	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 12 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Transferred to Another Agency	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 13	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 13 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Achieved Competitive Integrated Employment Outcome	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 14	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 14 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Extended Employment	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 15	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 15 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Extended Services Not Available	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 16	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 16 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Unable to Locate or Contact	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 17	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 17 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
No Longer Interested in Receiving Services or Further Services	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 18	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 18 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
All Other Reasons	RSA-911: Total number of individuals where Data Element 355 Reason for Exit = 19	RSA-911: (Total number of individuals where Data Element 355 Reason for Exit = 19 divided by Number of Individuals Who Exited the VR Program) multiplied by 100
Number of Individuals Who Exited the VR Program	RSA-911: Total number of individuals where Data Element 353 Date of Exit within PY	N/A

Table 6—[AGENCY] VR Services Provided to Participants (PY 2017)

Total Number of Participants Who Received VR Services	
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Training Services Provided to Participants	Number of Participants	Percent
Graduate Degree Training		
Bachelor Degree Training		
Junior or Community College Training		
Occupational or Vocational Training		
On-the-Job Training		
Apprenticeship Training		
Basic Academic Remedial or Literacy Training		
Job Readiness Training		
Disability Related Skills Training		
Miscellaneous Training		
Randolph-Sheppard Entrepreneurial Training		
Customized Training		

Career Services Provided to Participants	Number of Participants	Percent
Assessment		
Diagnosis and Treatment of Impairment		
Vocational Rehabilitation Counseling and Guidance		
Job Search Assistance		
Job Placement Assistance		
Short-Term Job Supports		
Supported Employment Services		
Information and Referral Services		
Benefits Counseling		
Customized Employment Services		
Extended Services (for youth with the most significant disabilities)		

Other Services Provided to Participants	Number of Participants	Percent
Transportation		
Maintenance		
Rehabilitation Technology		
Personal Attendant Services		
Technical Assistance Services		
Reader Services		
Interpreter Services		
Other Services		

Calculation Table 6: VR Services Provided to Participants (PY 2017)

Total Number of Participants Who Received VR Services	Amended Joint Performance Specs: Item 12 Count of UNIQUE individuals where Element 127 Start Date of Initial VR Service On or After IPE <= end of PY and Element 353 Date of Exit within the report period or Element 353 Date of Exit is null
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Training Services Provided to Participants	Calculation: To determine the number of participants who received each of the specified services, sum the number of participants (those with Data Element 127 that is not blank) where services provided is greater than 0. To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.
Graduate Degree Training	
Bachelor Degree Training	
Junior or Community College Training	
Occupational or Vocational Training	
On-the-Job Training	
Apprenticeship Training	
Basic Academic Remedial or Literacy Training	
Job Readiness Training	
Disability Related Skills Training	
Miscellaneous Training	
Randolph-Sheppard Entrepreneurial Training	
Customized Training	

Career Services Provided to Participants	Calculation: To determine the number of participants who received each of the specified services, sum the number of participants (those with Data Element 127 that is not blank) where services provided is greater than 0. To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.
Assessment	
Diagnosis and Treatment of Impairment	
Vocational Rehabilitation Counseling and Guidance	
Job Search Assistance	
Job Placement Assistance	
Short term Job Supports	
Supported Employment Services	
Information and Referral Services	
Benefits Counseling	
Customized Employment Services	
Extended Services (for youth with the most significant disabilities)	

Other Services Provided to Participants	Calculation: To determine the number of participants who received each of the specified services, sum the number of participants (those with Data Element 127 that is not blank) where services provided is greater than 0. To determine the percentage receiving the specified service, divide the number of participants who received the specified service in the PY by the total number of participants served and multiply by 100.
Transportation	
Maintenance	
Rehabilitation technology	
Reader services	
Interpreter services	
Personal attendant services	
Technical assistance services	
Other services	

Table 7—[AGENCY] Number of Measurable Skill Gains Earned, Number of Participants Who Earned Measurable Skill Gains, and Types of Measurable Skill Gains (PY 2017)

Measurable Skill Gains Earned and Participants Earning Measurable Skill Gains	Number
Number of Measurable Skill Gains Earned	
Number of Participants Who Earned a Measurable Skill Gains	

Types of Measurable Skill Gains	Number
Educational Functioning Level	
Secondary Diploma	
Postsecondary Transcript/Report Card	
Training Milestone	
Skills Progression	

Calculation Table 7: Number of Measurable Skill Gains Earned, Number of Participants Who Earned Measurable Skill Gains, and Types of Measurable Skill Gains (PY 2017)

Measurable Skill Gains Earned and Participants Earning Measurable Skill Gains	Calculation
Number of Measurable Skill Gains Earned	RSA-911: The sum of the number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Educational Functioning Level (EFL) within PY 2017, the number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Secondary within PY 2017, the number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Postsecondary Transcript/Report Card within PY 2017, the number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Training Milestone within PY 2017, and the number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Skills Progression within PY 2017
Number of Participants Who Earned Measurable Skill Gains	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017, and a Date of Most Recent Measurable Skill Gain: Educational Functioning Level(EFL) within PY 2017 or a Date of Most Recent Measurable Skill Gain: Secondary within PY 2017 or a Date of Most Recent Measurable Skill Gain: Postsecondary Transcript/Report Card within PY 2017 or a Date of Most Recent Measurable Skill Gain: Training Milestone within PY 2017 or a Date of Most Recent Measurable Skill Gain: Skills Progression within PY 2017

Types of Measurable Skill Gains	Calculation
Educational Functioning Level	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Educational Functioning Level (EFL) within PY 2017
Secondary Diploma	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Secondary within PY 2017
Postsecondary Transcript/Report Card	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable

Types of Measurable Skill Gains	Calculation
	Skill Gain: Postsecondary Transcript/Report Card within PY 2017
Training Milestone	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Training Milestone within PY 2017
Skills Progression	RSA-911: The number of Participants who had a Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential before the end of PY 2017 and a Date of Most Recent Measurable Skill Gain: Skills Progression within PY 2017

Table 8—[AGENCY] Median Hourly Earnings, Median Hours Worked per Week, Sources of Support and Medical Insurance Coverage for Participants Who Exited with Competitive Integrated Employment or Supported Employment (PY 2017)

Median Hourly Earnings and Hours Worked per Week at Exit

Number of Participants Who Exited in Competitive and Integrated Employment or Supported Employment	
Median Hourly Earnings at Exit	
Median Hours Worked per Week at Exit	

Primary Source of Support at Exit	Number of Participants	Percent
Personal Income		
Family and Friends		
Public Support		
Other Sources		

Public Support at Exit	Number of Participants	Percent
Social Security Disability Insurance (SSDI) at Exit		
Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit		
Temporary Assistance for Needy Families (TANF) at Exit		
General Assistance (State or local government) at Exit		
Veterans' Disability Benefits at Exit		
Workers' Compensation at Exit		
Other Public Support at Exit		

Medical Insurance Coverage at Exit	Number of Participants	Percent
Medicaid at Exit		
Medicare at Exit		
State or Federal Affordable Care Act Exchange at Exit		
Public Insurance from Other Sources at Exit		
Private Insurance Through Employer at Exit		
Not Yet Eligible for Private Insurance Through Employer at Exit		
Private Insurance Through Other Means at Exit		

Calculation Table 8: Median Hourly Earnings, Median Hours Worked per Week, Sources of Support, and Medical Insurance Coverage for Participants Who Exited with Competitive Integrated Employment or Supported Employment (PY 2017)

Median Hourly Earnings and Hours Worked per Week at Exit	Calculation
Number of Participants Who Exited in Competitive Integrated Employment or Supported Employment	RSA-911: Total participants with Data Element 354 Type of Exit = 6
Median Hourly Earnings at Exit	RSA-911: Data Element 359 Hourly Wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 Date of Exit falls within the Program Year, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Median Hours Worked per Week at Exit	RSA-911: Data Element 360 Hours Worked in a Week at Exit values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 Date of Exit falls within the Program Year, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6

Primary Source of Support for Participants Employed at Exit	Number	Percent
Personal Income	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 1	RSA-911: (Total number of participants with Data Element 154 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 1 divided by number of participants who Exited with Data Element 354 Type of Exit = 6) multiplied by 100
Family and Friends	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 2	RSA-911: (Total number of participants with Data Element 154 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 2 divided by number of participants who Exited with Data Element 354 Type of Exit = 6) multiplied by 100
Public support	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 3	RSA-911: (Total number of participants with Data Element 154 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 3 divided by number of participants who Exited with Data Element 354 Type of Exit = 6) multiplied by 100
Other Sources	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 4	RSA-911: (Total number of participants with Data Element 154 Type of Exit = 6 and Data Element 368 Primary Source of Support at Exit = 4 divided by Number of participants who Exited with Data Element 354 Type of Exit = 6) multiplied by 100

Public Support at Exit	Number	Percent
Social Security Disability Insurance (SSDI) at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 361 Social Security Disability Insurance (SSDI) at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 361 Social Security Disability Insurance (SSDI) at Exit is greater than zero divided by

Public Support at Exit	Number	Percent
	Insurance (SSDI) at Exit is greater than zero	number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 362 Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 362 Supplemental Security Income (SSI) for the Aged, Blind, or Disabled at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Temporary Assistance for Needy Families (TANF) at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 363 Temporary Assistance for Needy Families (TANF) at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 363 Temporary Assistance for Needy Families (TANF) at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
General Assistance (State or local government) at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 364 General Assistance (State or local government) at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 364 General Assistance (State or local government) at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Veterans' Disability Benefits at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 365 Veterans' Disability Benefits at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 365 Veterans' Disability Benefits at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Workers' Compensation at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 366 Workers' Compensation at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 366 Workers' Compensation at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Other Public Support at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 367 Other Public Support at Exit is greater than zero	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 367 Other Public Support at Exit is greater than zero divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100

Medical Insurance Coverage at Exit	Number	Percent
Medicaid at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 369 Medicaid at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 369 Medicaid at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Medicare at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 370 Medicare at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 370 Medicare at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
State or Federal Affordable Care Act Exchange at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 371 State or Federal Affordable	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 371 State or Federal Affordable Care Act Exchange at Exit = 1 divided by number of

Medical Insurance Coverage at Exit	Number	Percent
	Care Act Exchange at Exit = 1	participants with Data Element 354 Type of Exit = 6) multiplied by 100
Public Insurance from Other Sources at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 372 Public Insurance from Other Sources at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 372 State or Federal Affordable Care Act Exchange at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Private Insurance Through Employer at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 373 Private Insurance Through Employer at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 373 Private Insurance Through Employer at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Not Yet Eligible for Private Insurance Through Employer at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 374 Not Yet Eligible for Private Insurance Through Employer at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 374 Not Yet Eligible for Private Insurance Through Employer at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100
Private Insurance Through Other Means at Exit	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 375 Private Insurance Through Other Means at Exit = 1	RSA-911: Total number of participants with Data Element 354 Type of Exit = 6 and Data Element 375 Private Insurance Through Other Means at Exit = 1 divided by number of participants with Data Element 354 Type of Exit = 6) multiplied by 100

Table 9—[AGENCY] Standard Occupational Classification (SOC) Titles (Major Groups): Percentages of Employment Outcomes and Median Hourly Earnings for Participants Who Exited with Competitive Integrated Employment or Supported Employment (PY 2017)

SOC Title	Number of Participants	Median Hourly Earnings
Office and Administrative Support Occupations		
Production Occupations		
Transportation and Material Moving Occupations		
Food Preparation and Serving Related Occupations		
Sales and Related Occupations		
Building and Grounds Cleaning and Maintenance Occupations		
Community and Social Services Occupations		
Personal Care and Service Occupations		
Education, Training, and Library Occupations		
Healthcare Support Occupations		
Protective Service Occupations		
Installation, Maintenance, and Repair Occupations		
Healthcare Practitioners and Technical Occupations		
Constructive and Extraction Occupations		
Management Occupations		
Computer and Mathematical Occupations		
Business and Financial Operations Occupations		
Arts, Design, Entertainment, Sports, and Media Occupations		
Architecture and Engineering Occupations		
Life, Physical, and Social Science Occupations		
Farming, Fishing, and Forestry Occupations		
Legal Occupations		
Military Specific Occupations		
Randolph-Sheppard Vending Facility Operator		
Randolph-Sheppard Vending Facility Clerk		

Calculation Table 9: Standard Occupational Classification (SOC) Titles (Major Groups): Percentages of Employment Outcomes and Median Hourly Earnings for Participants Who Exited with Competitive Integrated Employment or Supported Employment (PY 2017)

SOC Title	Number of Participants	Median Hourly Earnings RSA-911: For each SOC category Data Element 359 Hourly wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Office and Administrative Support Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 43	
Production Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 = 51	
Transportation and Material Moving Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 53	
Food Preparation and Serving Related Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 35	
Sales and Related Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 41	
Building and Grounds Cleaning and Maintenance Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 37	

SOC Title	Number of Participants	Median Hourly Earnings RSA-911: For each SOC category Data Element 359 Hourly wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Community and Social Services Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 21	
Personal Care and Service Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 39	
Education, Training, and Library Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 25	
Healthcare Support Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 31	
Protective Service Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 33	
Installation, Maintenance, and Repair Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 49	

SOC Title	Number of Participants	Median Hourly Earnings RSA-911: For each SOC category Data Element 359 Hourly wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Healthcare Practitioners and Technical Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 29	
Constructive and Extraction Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 47	
Management Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 11	
Computer and Mathematical Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 15	
Business and Financial Operations Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 13	
Arts, Design, Entertainment, Sports, and Media Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 27	

SOC Title	Number of Participants	Median Hourly Earnings RSA-911: For each SOC category Data Element 359 Hourly wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Architecture and Engineering Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 17	
Life, Physical, and Social Science Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 19	
Farming, Fishing, and Forestry Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 45	
Legal Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 23	
Military Specific Occupations	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 55	
Randolph-Sheppard vending facility operator	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 99	

SOC Title	Number of Participants	Median Hourly Earnings RSA-911: For each SOC category Data Element 359 Hourly wage values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6
Randolph-Sheppard vending facility clerk	RSA-911: Count of individuals where Data Element 353 Date of Exit falls within the PY, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit= 6 and the first 2 numbers in Data Element 357 Primary Occupation at Exit = 89	

Table 10—[AGENCY] Number of Participants Who Exited with Competitive Integrated Employment or Supported Employment by the Most Frequent SOC Title (PY 2017)

No.	SOC Title	Number of Participants	Median Hourly Earnings
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

Calculation Table 10: Number of Participants Who Exited with Competitive Integrated Employment or Supported Employment by the Most Frequent SOC Title (PY 2017)

SOC Title	Number of Participants	Median Hourly Earnings
RSA-911: The most frequently occurring SOC Titles (Data Element 357)	Count of individuals in the most frequently occurring SOC Titles (Data Element 357 Primary Occupation at Exit)	RSA-911: For each SOC category Data Element 359 Hourly Wage at Exit values are listed in order, from the lowest to the highest value. The value in the middle of this list is the median hourly earnings value, so there is the same quantity of numbers above the median number as there is below the median number where Data Element 353 Date of Exit falls within the Program Year, Data Element 127 Start Date of Initial VR Service On or After IPE is not blank, Data Element 354 Type of Exit = 6

Table 11—[AGENCY] Number of Students with Disabilities Reported, and the Number and Percentage of Students with Disabilities Who Received Pre-Employment Transition Services (PY 2017)

Students with Disabilities	Number/Percentage of Students
Total Students with Disabilities Reported	
Students with Disabilities Reported with 504 Accommodation	
Students with Disabilities Reported with IEP	
Students with Disabilities Reported without 504 Accommodation or IEP	
Total Students with Disabilities Who Received a Pre-Employment Transition Service	
Potentially Eligible Students with Disabilities Who Received a Pre-Employment Transition Service	
Students with Disabilities, Who Applied for VR Services, and Received a Pre-Employment Transition Service	
Percentage of Students with Disabilities Reported Who Received a Pre-Employment Transition Service	%

Calculation Table 11: Number of Students with Disabilities Reported, and the Number and Percentage of Students with Disabilities Who Received Pre-Employment Transition Services (PY 2017)

Students with Disabilities	Number/Percentage of Students
Total Students with Disabilities Reported	RSA-911: Total cases where Data Element 22 Student with a Disability = 1 and 2 and 3
Students with Disabilities Reported with 504 Accommodation	RSA-911: Total cases where Data Element 22 Student with a Disability = 1
Students with Disabilities Reported with IEP	RSA-911: Total cases where Data Element 22 Student with a Disability = 2
Students with Disabilities Reported without 504 Accommodation or IEP	RSA-911: Total cases where Data Element 22 Student with a Disability = 3
Total Students with Disabilities Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house), Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3
Potentially Eligible Students with Disabilities Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house), Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 and Data Element 7 is blank

Students with Disabilities	Number/Percentage of Students
Students with Disabilities, Who Applied for VR Services, and Received a Pre-Employment Transition Service	RSA-911: Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house),Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 and Data Element 7 IS NOT NULL
Percentage of Students with Disabilities Reported Who Received a Pre-Employment Transition Service	RSA-911: Total cases where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house),Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase, Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house), Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase, Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house), Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase, Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house), Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase, Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house), Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1 and Data Element 22 Student with a Disability = 1,2, or 3 divided by Total cases where Data Element 22 Student with a Disability = 1,2, or 3

Table 12—[AGENCY] Number and Percentage of Required Pre-Employment Transition Services Provided (PY 2017)

Pre-Employment Transition Services	Number of Pre-Employment Transition Services Provided	Percent of Total Pre-Employment Transition Services Provided
Total Pre-Employment Transition Services Provided		
Job Exploration Counseling		
Work Based Learning Experiences		
Counseling on Enrollment Opportunities		
Workplace Readiness Training		
Instruction in Self Advocacy		

Calculation Table 12: Number and Percentage of Required Pre-Employment Transition Services Provided (PY 2017)

Pre-Employment Transition Services	Number of Pre-Employment Transition Services Provided	Percent of Total Pre-Employment Transition Services Provided
Total Pre-Employment Transition Services Provided	RSA-911: Count of rows where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house) = 1 + Count of rows Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase = 1 + Count of rows where Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house) = 1 + Count of rows Data Element 122 Instruction in Self Advocacy Provided Through VR Agency Purchase = 1	
Job Exploration Counseling	Count of rows where Data Element 97 Job Exploration Counseling Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 98 Job Exploration Counseling Provided Through VR Agency Purchase = 1	(Job Exploration Counseling divided by Total Pre-Employment Transition Services Provided) multiplied by 100

Pre-Employment Transition Services	Number of Pre-Employment Transition Services Provided	Percent of Total Pre-Employment Transition Services Provided
Work Based Learning Experiences	Count of rows where Data Element 103 Work Based Learning Experiences Provided by VR Agency Staff (in-house) = 1 + Count of rows where Data Element 104 Work Based Learning Experiences Provided Through VR Agency Purchase = 1	(Work Based Learning Experiences divided by Total Pre-Employment Transition Services Provided) multiplied by 100
Counseling on Enrollment Opportunities	RSA-911: Count of rows where Data Element 109 Counseling on Enrollment Opportunities Provided by VR Agency Staff (in-house) =1 or Count of rows where Data Element 110 Counseling on Enrollment Opportunities Provided Through VR Agency Purchase = 1	(Counseling on Enrollment Opportunities divided by Total Pre-Employment Transition Services Provided) multiplied by 100
Workplace Readiness Training	Count of rows where Data Element 115 Workplace Readiness Training Provided by VR Agency Staff (in-house) = 1 or Count of rows Data Element 116 Workplace Readiness Training Provided Through VR Agency Purchase = 1	(Workplace Readiness Training divided by Total Pre-Employment Transition Services Provided) multiplied by 100
Instruction in Self Advocacy	Count of rows where Data Element 121 Instruction in Self Advocacy Provided by VR Agency Staff (in-house) = 1 or Count of rows Data Element 122 Instruction in Self Advocacy Provided Through VR Agency = 1	(Instruction in Self Advocacy divided by Total Pre-Employment Transition Services Provided) multiplied by 100

APPENDIX D

Service Record Review Instrument Participants who Exited with Competitive Integrated Employment or Supported Employment

State VR Agency:

Case ID:

Date of Service Record Review:

Date of Exit with CIE or SE

(RSA-911: Data Elements 353 and 354 = 6):

RSA Reviewer:

State VR Agency Reviewer:

RSA-911 Data Element	Supporting Documentation Examples	Adequate Documentation Yes/No	RSA-911 Reporting Considerations	Comments
Date of Application (7)	<ul style="list-style-type: none"> ▪ Application received via mail with the date received by the VR. agency stamped on it ▪ Intake form completed at the one-stop. ▪ Electronic submission of the application. 		Does the application date on supporting documentation match the date in the case management system and the RSA-911?	
Date of Eligibility Determination (38)	<ul style="list-style-type: none"> ▪ A copy of the eligibility determination letter sent to the individual. ▪ Functional limitation worksheet. 		Does the eligibility date on supporting documentation match the date in the case management system and the RSA-911?	
Date of Most Recent or Amended IPE (48)	<ul style="list-style-type: none"> ▪ Copy of signed IPE. 		<p>Did the eligible individual or his/her representative and the VR counselor both sign the IPE?</p> <p>Does the IPE date on supporting documentation match the date in case management system and the RSA-911?</p>	

RSA-911 Data Element	Supporting Documentation Examples	Adequate Documentation Yes/No	RSA-911 Reporting Considerations	Comments
Start Date of Employment in Primary Occupation (350)	<ul style="list-style-type: none"> ▪ Pay stub identifying the individual's start date. ▪ Detailed case notes signed by the counselor in the case service record, including the date employment start date verification was received and justification for individual not providing formal documentation. ▪ Automated database systems indicating the individual's start date. ▪ Self-employment worksheets indicating the individual's start date. ▪ Verification received from employer (as appropriate) documented the employment start date in case service record, including date of verification or copy of email, fax, letter. 		<p>Does the participant's employment match the primary occupation on the individual's IPE or amended IPE?</p> <p>Does the start date of employment on supporting documentation match the date in the case management system and the RSA-911?</p>	

RSA-911 Data Element	Supporting Documentation Examples	Adequate Documentation Yes/No	RSA-911 Reporting Considerations	Comments
Employment Outcome at Exit (356)	<ul style="list-style-type: none"> ▪ Unemployment Insurance (UI) wage match, Federal employment records, or military employment records that verify the hourly wage rate (not aggregated for the quarter). ▪ Pay stub identifying the individual's hourly wage rate or annual salary. ▪ Income earned from commission in sales or other similar positions. ▪ Detailed case notes signed by the counselor in the case service record, including the date verification was received and justification for individual not providing formal documentation. ▪ Automated database systems. ▪ One-stop operating systems' administrative records, such as current records of eligibility for programs with income-based eligibility (e.g., TANF or SNAP). ▪ Self-employment worksheets. ▪ Verification received from employer (as appropriate) documented in case service record, including date of verification or copy of email, fax, letter. 		Does the participant's employment at exit match the primary occupation on the individual's IPE or amended IPE?	

RSA-911 Data Element	Supporting Documentation Examples	Adequate Documentation Yes/No	RSA-911 Reporting Considerations	Comments
Hourly Wage at Exit (359)	<ul style="list-style-type: none"> ▪ Unemployment Insurance (UI) wage match, Federal employment records, or military employment records that verify the hourly wage rate (not aggregated for the quarter). ▪ Pay stub identifying the individual's hourly wage rate or annual salary. ▪ Income earned from commission in sales or other similar positions. ▪ Detailed case notes signed by the counselor in the case service record, including the date verification was received and justification for individual not providing formal documentation. ▪ Automated database systems. ▪ One-stop operating systems' administrative records, such as current records of eligibility for programs with income-based eligibility (e.g., TANF or SNAP). ▪ Self-employment worksheets. ▪ Verification received from employer (as appropriate) documented in case service record, including date of verification or copy of email, fax, letter. 		Does the hourly wage on supporting documentation match the hourly wage in the case management system and the RSA-911?	
Type of Exit (354)	<ul style="list-style-type: none"> ▪ Copy of the letter sent to the individual indicating that the case was closed. ▪ Employment and wage documentation. ▪ Case notes. 			
Date of Exit (353)	<ul style="list-style-type: none"> ▪ Copy of the letter sent to the individual indicating that the case was closed. 		Does the closure date on supporting documentation match the date in the case management system and the RSA-911?	

Participants who Earned Measurable Skill Gains (MSG)

State VR Agency:

Date of Service Record Review:

RSA Reviewer:

State VR Agency Reviewer:

Case ID:

Start Date of Initial VR Service on or after IPE (RSA-911: Data Element 127):

Date Enrolled During Program Participation (RSA-911: Data Element 85):

Type of MSG Earned
(RSA-911: Data Elements 343, 344, 345, 346, or 347):

Date of Most Recent MSG
(RSA-911: Data Elements 343, 344, 345, 346, or 347):

RSA-911 Data Element	Source Documentation Examples from TAC 19-01 (12/19/18)	Adequate Documentation Yes/No	RSA-911 Reporting	Comments
Start Date of Initial VR Service on or after IPE (127)	<ul style="list-style-type: none">▪ Signed IPE.		Does the participant's IPE include secondary and/or postsecondary education or training?	
Date Enrolled During Program Participation in an Education or Training Program Leading to a Recognized Postsecondary Credential or Employment (85)	<ul style="list-style-type: none">▪ Copy of enrollment record.▪ File documentation with notes from program staff.▪ School records.▪ Transcript/report card.▪ Data match with postsecondary data system.		Does the enrollment date on supporting documentation match the case management system and the RSA-911?	

RSA-911 Data Element	Source Documentation Examples from TAC 19-01 (12/19/18)	Adequate Documentation Yes/No	RSA-911 Reporting	Comments
Date of Most Recent MSG: Educational Functioning Level (343)	<ul style="list-style-type: none"> Pre- and post-test results measuring EFL gain. Adult High School transcript showing EFL gain through the awarding of credits or Carnegie units. Postsecondary education or training enrollment determined through data match, survey doc., or program notes. 		Does the date on supporting documentation match the date in the case management system and the RSA-911?	
Date of Most Recent MSG: Secondary Transcript/Report Card (344)	<ul style="list-style-type: none"> Transcript. Report Card. 		Does the date on supporting documentation match the date in the case management system and the RSA-911?	
Date of Most Recent MSG: Postsecondary Transcript/Report Card (345)	<ul style="list-style-type: none"> Transcript. Report Card. 		Does the date on supporting documentation match the date in the case management system and the RSA-911?	
Date of Most Recent MSG: Training Milestone (346)	<ul style="list-style-type: none"> OJT or Registered Apprenticeship. Contract and/or evaluation from employer or training provider. 		Does the date on supporting documentation match the date in the case management system and the RSA-911?	

RSA-911 Data Element	Source Documentation Examples from TAC 19-01 (12/19/18)	Adequate Documentation Yes/No	RSA-911 Reporting	Comments
Date of Most Recent MSG: Skills Progression (347)	<ul style="list-style-type: none"> ▪ Results of knowledge-based exam or certification of completion. ▪ Documentation demonstrating progress in attaining technical or occupational skills. ▪ Documentation from training provider or employer. ▪ Copy of a credential that is required for a particular occupation and only is earned after the passage of an exam. 		Does the date on supporting documentation match the date in the case management system and the RSA-911?	

APPENDIX E

Third-Party Cooperative Arrangement Review Instrument

I. Introduction

Historically, some vocational rehabilitation (VR) agencies have used sources of match other than State general revenue fund appropriations directed to the designated State unit (DSU) to meet the non-Federal share (match) requirement for Federal VR program funds. Such matching funds can come from a variety of sources. The use of funds other than State general revenue appropriations to the DSU is allowable under the Rehabilitation Act of 1973 (Rehabilitation Act), as amended by Title IV of the Workforce Innovation and Opportunity Act (WIOA), and there are specific statutory requirements pertaining to the use of such funds. A significant number of VR agencies utilize third-party cooperative arrangements (TPCA) as a source of match for Federal VR funds. The Federal regulations, which detail the TPCA requirements, in 34 C.F.R. § 361.28 read, in pertinent part, as follows:

- (a) The designated State unit may enter into a third-party cooperative arrangement for providing or contracting for the provision of vocational rehabilitation services with another State agency or a local public agency that is providing part or all of the non-Federal share in accordance with paragraph (c) of this section, if the designated State unit ensures that—
 - (1) The services provided by the cooperating agency are not the customary or typical services provided by that agency but are new services that have a vocational rehabilitation focus or existing services that have been modified, adapted, expanded, or reconfigured to have a vocational rehabilitation focus;
 - (2) The services provided by the cooperating agency are only available to applicants for, or recipients of, services from the designated State unit;
 - (3) Program expenditures and staff providing services under the cooperative arrangement are under the administrative supervision of the designated State unit; and
 - (4) All requirements of the VR services portion of the Unified or Combined State Plan, including a State's order of selection (OOS), will apply to all services provided under the cooperative arrangement.
- (b) If a third party cooperative arrangement does not comply with the statewideness requirement in 34 C.F.R. § 361.25, the State unit must obtain a waiver of statewideness, in accordance with § 361.26.

II. The Cooperating Agency Must Furnish All or Part of the Non-Federal Share

The first requirement for TPCAs is that the third-party cooperating agency is a State or local public agency that furnishes all or part of the non-Federal share (34 C.F.R. § 361.28(a)). Public, as applied to an agency, organization, or institution, means that the agency, organization, or institution is under the administrative supervision or control of a government other than the Federal government (34 C.F.R. § 77.1). TPCAs cannot be developed with private non-profit or for-profit entities.

The following questions may be helpful.

1. Is the cooperating agency a State agency or other public agency?
2. Is the cooperating agency furnishing all or part of the non-Federal share for that particular TPCA?

If the answer to the above questions is NO, the TPCA is not in compliance with the requirements of 34 C.F.R. § 361.28 and 34 C.F.R. § 77.1.

In addition, the Federal VR regulations that detail the TPCA non-Federal share requirements, in 34 C.F.R. § 361.28 read, in pertinent part, as follows:

- (c) The cooperating agency's contribution toward the non-Federal share required under the arrangement, as set forth in paragraph (a) of this section, may be made through:
 - (1) Cash transfers to the designated State unit;
 - (2) Certified personnel expenditures for the time cooperating agency staff spent providing direct vocational rehabilitation services pursuant to a third-party cooperative arrangement that meets the requirements of this section. Certified personnel expenditures may include the allocable portion of staff salary and fringe benefits based upon the amount of time cooperating agency staff directly spent providing services under the arrangement; and
 - (3) other direct expenditures incurred by the cooperating agency for the sole purpose of providing services under this section pursuant to a third-party cooperative arrangement that—
 - (i) Meets the requirements of this section;
 - (ii) Are verifiable as being incurred under the third-party cooperative arrangement; and
 - (iii) Do not meet the definition of third-party in-kind contributions under 2 C.F.R. § 200.96.

The following questions may be helpful.

1. What is/are the source(s) of non-Federal share that the cooperating agency provides under the TPCA (i.e., cash, certified personnel expenditures, other direct expenditures)?
2. How much/what percentage of each source is provided?
3. What internal controls has the VR agency established to ensure that non-Federal share is reasonable, necessary, and allocable to the TPCA, making it allowable as match for the VR program?
 - Is cash transferred directly by the cooperating agency into the sole account of the VR agency?
 - Are certified personnel expenditures submitted by the cooperating agency along with supporting documentation (e.g., personnel activity reports) to demonstrate time worked on the TPCA vs. time not worked on the TPCA?
 - Are other direct expenditures submitted by the cooperating agency along with supporting documentation (e.g., receipts) that ensures the expenditures were incurred during the time the TPCA contract was in force, for the sole purpose of providing VR services to applicants and recipients of VR services under the TPCA?
4. Is there a budget within the TPCA contract that specifically identifies the portion of allowable costs that meet the 34 C.F.R. § 361.28 provisions, including those incurred as non-Federal share for the direct provision of VR services, and those incurred with Federal VR funds?

III. New or Modified Services with a VR Focus

The second requirement for TPCAs is “the services provided by the cooperating agency are not the customary or typical services provided by that agency but are new services that have a VR focus or existing services that have been modified, adapted, expanded, or reconfigured to have a VR focus” (34 C.F.R. § 361.28(a)(1)). The question of whether services are “new” or “modified, adapted, expanded, or reconfigured” may be difficult to discern. The services cannot be services that the cooperating agency is providing or has the legal responsibility to provide.

The following questions may be helpful in determining whether a service is “new” or “modified, adapted, expanded, or reconfigured.”

5. Does the TPCA specify that the cooperating agency is responsible for providing or directly arranging for the provision of (e.g., contracting for) the VR services specified in the arrangement?
6. When was the TPCA program started, and what customary services were being provided by the cooperating agency prior to that time?
7. Are the VR services provided through the TPCA program also available to individuals through avenues other than the TPCA? For example, if a high school student is provided job coaching through a TPCA, are other high school students who are not being served through the TPCA also provided job coaching?
8. Were the TPCA staff already providing the same VR services to applicants/recipients of VR services prior to the TPCA’s implementation?
9. Is there a substantive difference between the services provided by the cooperating agency prior to the TPCA and “new” or “modified, adapted, expanded, or reconfigured” VR services?
10. Does the TPCA contract detail the VR focus of the new or modified services?

If the services are not “new” or “modified, adapted, expanded, or reconfigured,” then these services cannot be included in the arrangement. If such services are included in the arrangement, the TPCA is out of compliance with 34 C.F.R. § 361.28(a)(1).

IV. Services are Only Available to Applicants for, or Recipients of, VR Services

The third regulatory requirement for TPCAs is that “the services provided by the cooperating agency are only available to applicants for, or recipients of, services from the designated State unit” (34 C.F.R. § 361.28(a)(2)). It is important to look for language in the TPCA document that outlines whom the program will serve. Even if the written document states that the program serves only VR applicants or recipients, it is important to discern how it unfolds in practice. Students with disabilities who are potentially eligible for services from the VR program may receive the five pre-employment transition services required activities (34 C.F.R. § 361.48(a)(2)) regardless of whether they have applied or been determined eligible for VR services (34 C.F.R. § 361.48(a)(1)) and are considered recipients of VR services. However, all individuals must be applicants or determined eligible for the VR program to receive any of the VR services provided under 34 C.F.R. § 361.48(b), including when those services are provided under a TPCA.

The following questions may be helpful in determining whether the services are provided to applicants for, or

recipients of, VR services.

11. Are all individuals served through the TPCA program applicants for, or recipients of, VR services?
12. Does the TPCA provide the five pre-employment transition services required activities in 34 C.F.R. § 361.48(a)(2), or other VR services identified in 34 C.F.R. § 361.48(b)?
13. What role do the VR counselors play in the TPCA program?

If the TPCA provides any VR services under 34 C.F.R. § 361.48(b) that have different requirements than the five pre-employment transition services required activities under 34 C.F.R. § 361.48(a)(2), the following questions apply.

14. How do VR counselors ensure that individuals with disabilities have applied or been determined eligible for VR services when a TPCA provides VR services identified in 34 C.F.R. § 361.48(b)?
15. How and when is an application for VR services taken?
16. How and when is eligibility for VR services determined?
17. When is an individualized plan for employment (IPE) written?
18. At what point in the VR process are services provided?

If the cooperating agency wants to serve individuals who are neither applicants for nor recipients of VR services, the cooperating agency may do so provided no Federal or non-Federal VR funds are used to support those services (e.g., personnel costs, supplies, etc.). The VR agency could use neither Title I funds to serve such individuals, nor consider the costs of serving such individuals paid with non-Federal funds in the VR agency's efforts to comply with the matching requirements under 34 C.F.R. § 361.60. These individuals must be served outside of the parameters of the TPCA. RSA recommends that the cooperating agency and VR agency clarify such arrangements in the written agreement implementing the TPCA.

V. DSU Maintains Administrative Supervision

The fourth regulatory requirement for TPCAs is that "program expenditures and staff providing services under the cooperative arrangement are under the administrative supervision of the designated State unit" in accordance with 34 C.F.R. § 361.28(a)(3). Staff providing services under the TPCA must not be employees of the VR agency.

The following questions may be helpful in determining whether the DSU is maintaining "administrative supervision."

19. Is there a signed agreement supported by a line item budget that details the personnel and other associated costs? (Generally, this is enough to meet this requirement.)
20. Who supervises the provision of VR services under the TPCA?
21. Who manages and administers the TPCA contract (program and fiscal components)?
22. What types of performance measures are included in the TPCA and who evaluates the performance?

23. Who/what agency maintains control of the expenditures of the program?
24. What internal control activities do VR agency staff conduct to ensure non-Federal and Federal expenditures are spent under the TPCA in accordance with the 34 C.F.R. § 361.28 requirements?
25. How does the VR agency ensure that non-Federal and Federal expenditures reported and incurred under the TPCA are allocable to the TPCA program?
26. How does the VR agency ensure that non-Federal share provided as match under the TPCA is consistent with 34 C.F.R. § 361.28(c)?
27. What are the hiring and firing practices for third-party program staff?
28. What agency is responsible for issuing paychecks to the cooperating agency providing the TPCA VR services?
29. Who does the TPCA program staff consider as the lead of the program and supervisor?
30. Who performs the non-delegable VR program duties outlined in 34 C.F.R. § 361.13?

For example, a TPCA transition program's third-party cooperative arrangement staff is employees of the schools (the schools do the hiring and firing, issue the paychecks, etc.). However, the VR agency maintains control of expenditures; has authority over the TPCA staff; is involved with the interview process; performs continuous reviews of the schools' progress, performance and internal controls; conducts at least annual reviews of performance expectations; and maintains control of the non-delegable functions of the VR program. This would meet the requirement of "administrative supervision" even though the TPCA staff members are not employees of the DSU but rather are employees of the school.

If there is no administrative supervision exercised by the VR agency, the VR program must restructure the TPCA contract to ensure the requirements listed above are met. RSA is available to provide technical assistance, upon request.

VI. VR Services Portion of the Unified or Combined State Plan Requirements Apply

The fifth regulatory requirement for TPCAs is that "all requirements of the VR services portion of the Unified or Combined State Plan, including a State's order of selection (OOS), will apply to all services provided under the cooperative arrangement" (34 C.F.R.

§ 361.28(a)(4)). If an agency is on an OOS, the TPCA program must also adhere to the OOS for the individuals that it serves. Please note that the VR agency must continue to provide pre-employment transition services to students with disabilities who were receiving any of the five pre-employment transition services prior to being determined eligible for VR services and placed in a closed OOS priority category or waiting list (34 C.F.R. § 361.36(e)(3)(i)). So long as the students received one of the required activities, prior to being placed in a closed priority category under an OOS, they can receive any of the five required activities while on a waiting list.

The following questions may be helpful:

31. If the VR agency is on an OOS, are the individuals served in the TPCA program selected based on that OOS?
32. How is informed choice provided to individuals served via the TPCA?
33. Are there any limits or caps on services provided under the TPCA?
34. What, if any, services are being provided by the VR agency through TPCAs to individuals assigned to a closed OOS priority category or waiting list?
35. Are all the requirements within the agency's VR services portion of the Unified or Combined State Plan being adhered to by the cooperating agency?

NOTE: If this requirement is not met, the RSA team will provide technical assistance to restructure the arrangement language to clearly specify that all requirements under the VR services portion of the Unified or Combined State Plan are to be met and eliminate provisions that are not consistent with the VR services portion of the Unified or Combined State Plan.

VII. Statewideness

The final regulatory requirement for TPCAs is that, "if a third-party cooperative agreement does not comply with the statewideness requirement in 34 C.F.R. § 361.25, the State unit must obtain a waiver of statewideness, in accordance with 34 C.F.R. § 361.26" (34 C.F.R. § 361.28(b)). Pursuant to 34 C.F.R. § 361.25, "The vocational rehabilitation services portion of the Unified or Combined State Plan must assure that services provided under the vocational rehabilitation services portion of the Unified or Combined State Plan will be available in all political subdivisions of the State, unless a waiver of statewideness is requested and approved in accordance with 34 C.F.R. § 361.26."

The main questions to ask for this requirement are as follows.

36. Are the services provided through the TPCA available to all individuals across the State? If so, statewideness is met.
37. If not, has the VR agency obtained a waiver of statewideness through the submission of its most recent VR services portion of the Unified or Combined State Plan?

Are the services provided through the TPCA program offered throughout the State, yet some parts of the State are not participating in the program? If so, this does not meet the statewideness requirement. For example, if a TPCA transition program is offered in all parts of the State, but is not available statewide because not all schools in the State participate in the program, the statewideness requirement is not met and the VR agency must request a waiver of statewideness.

TPCAs with school districts to provide transition services to eligible students receiving special education services from the school system, or working with a county developmental disability or mental health office to establish an employment program for individuals who are eligible for both the county programs and for VR almost always require a waiver of statewideness.

A VR agency may provide services under a waiver of statewideness when the—

- Non-Federal share of the cost of the services to be provided under the waiver is met from funds

- provided by a public agency;
- Services are likely to promote the vocational rehabilitation of substantially larger numbers of individuals with disabilities, or of individuals with disabilities with particular types of impairments; and
- The VR agency includes in the VR services portion of the Unified or Combined State Plan, and the Secretary of Education approves, a waiver of statewideness (34 C.F.R. § 361.26(a)).

The requirements for requesting a waiver of statewideness are found in 34 C.F.R. § 361.26(b). VR agencies must request approval from RSA, by submitting an attachment to the State Plan, prior to waiving responsibility for providing services statewide. The waiver of statewideness request must—

- Identify the types of services to be provided;
- Include a written assurance that the cooperating agency will make available the non-Federal share of funds required for the arrangement;
- Include a written assurance that the VR agency approval will be obtained for each service before that service is put into effect; and
- Include a written assurance that all other requirements under the VR services portion of the Unified or Combined State Plan will apply to all services approved under the waiver.

APPENDIX F

Fiscal Data Tables - Focus Area V

Table V.1
VR Resources and Expenditures—FFYs 2016–2018

VR Resources and Expenditures	2016	2017	2018*
Total program expenditures			
Federal expenditures			
State agency expenditures (4 th quarter)			
State agency expenditures (latest/final)			
Federal formula award amount			
Reserve amount required for pre-employment transition services (15 percent)			
Amount expended on pre-employment transition services			
Percentage expended on pre-employment transition services			
MOE penalty from prior year			
Federal award amount relinquished during reallotment			
Federal award amount received during reallotment			
Federal funds transferred from State VR agency			
Federal funds transferred to State VR agency			
Federal award amount (net)			
Federal award funds deobligated			
Federal award funds used			
Percent of formula award amount used			
Federal award funds matched but not used			

* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

Table V.1
VR Resources and Expenditures—Descriptions, Sources and Formulas

VR Resources and Expenditures	Source/Formula
Total program expenditures	The sum of the Federal and non-Federal expenditures. Source/Formula: Table 6.1: Federal expenditures plus State expenditures (latest/final)
Federal expenditures	The cumulative amount of disbursements from Federal funds. Source/Formula: SF-425 line 10e from latest/final report
State expenditures (4 th quarter)	The cumulative amount of disbursements and unliquidated obligations from State funds through September 30 th of the award period. Source/Formula: SF-425 line 10j from 4 th quarter report
State expenditures (latest/final)	The cumulative amount of disbursements and unliquidated obligations from State funds as reported on the agency's latest or final SF-425 report. Final reports do not include unliquidated obligations. Source/Formula: SF-425 line 10j from latest/final report
Federal formula award amount	The amount of the Federal funds available to the agency based on the formula mandated in the Rehabilitation Act. Formula/Source: Federal formula award calculation
Reserve amount required for pre-employment transition services	The amount of Federal funds required to be reserved and expended (15 percent) for the provision of pre-employment transition services. Formula/Source: (((((SF-425 line 10j lesser of the 4 th quarter or latest/final) divided by .213) multiplied by .787) multiplied by .15) or (4 th quarter grant award amount multiplied by .15)) whichever is less
Amount expended on pre-employment transition services	The amount of Federal funds the agency spent on the provision of pre-employment transition services. Formula/Source: SF-425 line 12b from latest/final report
Percentage expended on pre-employment transition services	The percent of Federal funds the agency spent on the provision of pre-employment transition services. Formula/Source: Amount expended on pre-employment transition services divided by the amount required for pre-employment transition services
MOE penalty from prior year	The amount of the Maintenance of Effort (MOE) deficit from the previous FFY which resulted in a MOE penalty against the current FFY. Source/Formula: Table 6.2: MOE difference from prior year
Federal award amount relinquished during reallocation	Amount of Federal award voluntarily relinquished through the reallocation process. Formula/Source: RSA-692
Federal award received during reallocation	Amount of funds received through the reallocation process. Source/Formula: RSA-692
Federal funds transferred from State VR agency	Amount of award funds transferred from State VR agencies (Blind to General or General to Blind). Formula/Source: Agency transfer request documentation
Federal funds transferred to State VR agency	Amount of award funds transferred to State VR agencies (Blind to General or General to Blind). Formula/Source: Agency transfer request documentation

VR Resources and Expenditures	Source/Formula
Federal award amount (net)	Federal award amount available after accounting for adjustments to award (e.g., MOE penalties, relinquishment, reallocation and transfers). Formula/Source: Federal formula award calculation, RSA-692, agency documentation, SF-425 : Federal formula calculation minus MOE penalty minus funds relinquished in reallocation plus funds received in reallocation plus funds transferred from agency minus funds transferred to agency
Federal award funds deobligated	Federal award funds deobligated at the request of the agency or as part of the award closeout process. These funds may include matched or unmatched Federal funds. Source/Formula: Agency deobligation request documentation, G5 closeout reports
Federal award funds used	Amount of Federal award funds expended. Source/Formula: Federal formula calculation, RSA-692, agency documentation, SF-425 lesser of the 4 th quarter or latest/final: Federal award amount (net) (calculation above) minus Federal award funds deobligated
Percent Federal formula award used	Percent of Federal formula award funds used. Source/Formula: Federal award funds used (calculation above) divided by Federal formula award amount
Federal award funds matched but not used	This represents unused Federal award funds for which the agency provided match. Source/Formula: Table 6.2 Federal award funds matched (actual) minus Table 6.1 Federal award funds used

Table V.2
Non-Federal Share and Maintenance of Effort—FFYs 2016–2018

Non-Federal Share (Match) and Maintenance of Effort (MOE)	2016	2017	2018*
Match required per net award amount			
Match provided (actual)			
Match difference**			
Federal funds matched (actual)			
Percent Federal funds matched			
MOE required			
MOE: Establishment/construction expenditures			
MOE actual			
MOE difference**			

* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

** A positive amount indicates a deficit. A negative amount indicates a surplus.

Table V.2
Non-Federal Share and Maintenance of Effort—Descriptions, Sources and Formulas

Non-Federal Share (Match) and Maintenance of Effort (MOE)	Source/Formula
Match required per net award amount	Non-Federal funds required based upon the net amount of the Federal award. Source/Formula: (Table 6.1 Federal award amount net divided by 0.787) multiplied by 0.213
Match provided (actual)	Amount of match (non-Federal share) provided, by the agency. Source/Formula: SF-425 line 10j lesser of the 4 th quarter or latest/final
Match difference**	The difference between match required to access the net Federal award funds and the actual amount of match provided by agency. Source/Formula: SF-425 lesser of the 4 th quarter or latest/final: ((Federal formula award amount divided by 0.787) multiplied by 0.213) minus SF-425 line 10j
Federal funds matched (actual)	Total amount of Federal funds the agency was able to match based upon the non-Federal share reported. The maximum amount of Federal funds the agency can access is limited to the Federal grant award amount. Source/Formula: (Match provided actual divided by .213) multiplied by .787

Non-Federal Share (Match) and Maintenance of Effort (MOE)	Source/Formula
Percent of Federal funds matched	Percent of Federal funds matched. Source/Formula: Federal funds matched divided by Federal award amount net
Maintenance of Effort (MOE) required	Maintenance of effort (MOE) is the level of non-Federal expenditures established by the State's non-Federal expenditures two years prior, i.e. Recipient Share of Expenditures. Source/Formula: SF-425 4 th quarter or latest/final report: line 10j minus line 12a
MOE: Establishment / construction expenditures	Non-Federal share of expenditures for construction of facilities for community rehabilitation program (CRP) purposes and the establishment of facilities for community rehabilitation purposes. Source/Formula: SF-425 latest/final report: line 12a
MOE actual	Non-Federal share provided by agency minus establishment/construction expenditures for CRPs. Source/Formula: SF:425: Match provided actual minus establishment/construction expenditures
MOE difference**	The difference between MOE required and the actual MOE provided. Source/Formula: MOE required minus MOE actual

** A positive amount indicates a deficit. A negative amount indicates a surplus.

Table V.3
Program Income and 4th Quarter Data—FFYs 2016–2018

Program Income and 4th Quarter Data	2016	2017	2018*
Program income received			
Program income disbursed			
Program income transferred			
Program income used for VR program			
Federal grant amount matched (4 th quarter)			
Federal expenditures (4 th quarter)			
Federal unliquidated obligations (4 th quarter)			

* Indicates the award is currently in an open status. Therefore, data is either not currently available or not final.

Table V.3
Program Income and Carryover—Descriptions, Sources and Formulas

Program Income and Carryover	Source/Formula
Program income received	Total amount of Federal program income received by the grantee. Source/Formula: SF-425 latest/final line 10l
Program income disbursed	Amount of Federal program income disbursed, including transfers. Source/Formula: SF-425 latest/final: line 10m plus line 10n
Program income transferred	Amount of Federal program income transferred to other allowable programs. Source/Formula: SF-425 latest/final: line 12e plus line 12f plus line 12g plus line 12h
Program income used for VR program	Amount of Federal program income utilized for the VR program. Source/Formula: SF-425 latest/final: Program income expended minus program income transferred
Federal grant amount matched (4 th quarter)	Federal funds an agency is able to draw down based upon non-Federal share reported on the 4 th quarter SF-425 for the FFY of appropriation, not to exceed net award amount. Source/Formula: Table 6.2 Federal funds matched actual
Federal expenditures (4 th quarter)	Federal funds expended as reported on the 4 th quarter SF-425 for the FFY of appropriation. This does not include unliquidated obligations. Source/Formula: SF-425 4 th quarter: line 10e
Federal unliquidated obligations (4 th quarter)	Federal funds obligated but not liquidated as reported on the 4 th quarter SF-425 for the FFY of appropriation. Source/Formula: SF-425 4 th quarter: line 10f

APPENDIX G

WIOA Shared Monitoring Guide

A. Nature and Scope

(See narrative in Section VI of this MTAG, Focus Area—Joint Workforce Innovation and Opportunity Act Final Rule Implementation)

B. WIOA Partnership

Beyond complying with the requirements of the law, WIOA offers an opportunity to modernize and establish a workforce system that is customer-centered, where: the needs of business and workers drive workforce solutions; American Job Centers provide excellent customer service to all jobseekers and businesses; and the workforce system supports strong regional economies. Realizing this vision and potential requires strong partnerships throughout and across the workforce, education, and social services systems at the State and local levels. Therefore, it prompts States and local areas to build new, and strengthen existing, partnerships to fully realize WIOA's vision.

WIOA requires States and local areas to enhance coordination and partnerships with local entities and supportive service agencies for strengthened service delivery, including through Unified/Combined State Plans. Beyond the partnerships reflected in the Governance and One-Stop Operations Sections of this Guide, Federal partners thought it was important for Federal agencies to inquire about the broader partnership activities occurring to implement many of the approaches called for within WIOA, such as career pathways and sector strategies. These require robust relationships across programs and with businesses, economic development, education, and training institutions, including community colleges and career and technical education local entities and supportive service agencies. These activities are often led by the State or Local workforce development boards or educational institutions, but also by other intermediary organizations. Therefore, exploring how these activities are led and sustained – whether there is an existence of a cross-agency team and with roles of the members from State and local agencies – may be useful in assessing how these initiatives are progressing within a State.

The qualitative questions in this section are intended to determine where the State has had success in partnering and to determine areas that may need strengthening:

- Determine where coordination is crucial, but does not occur or is limited;
- Listen when more than one partner identifies a concern;
- Consider whether any issues need a Federal, or State, or local resolution; and
- Consider how lack of partnerships may lead to gaps in participant or business services.

WIOA Partnership

Qualitative Questions:

1. Describe how the State engages with businesses and other stakeholders in partnerships for the purposes of unified planning, career pathway development and apprenticeships, sector strategies, or other related workforce development activities.
2. What mechanisms are in place to support and maintain partnerships? Does the membership have clearly defined roles through an established charter, partnership agreement or MOU (beyond those required in WIOA)? Are there feedback mechanisms in place?

C. Governance

State Workforce Development Boards (SWDBs) and Local Workforce Development Boards (LWDBs), which should include representation from all six core programs, set strategy and policies for an aligned workforce development system that partners with the education continuum, economic development, human services, and business.

SWDB Membership

Compliance Section:

1. Is the lead State official with the primary responsibility for the adult, dislocated worker, and youth programs and the Wagner-Peyser program represented on the SWDB?
2. Where the lead State Official represents more than one core program for WIOA Title I and Wagner-Peyser programs, does the official adequately represent the needs of all core programs under his or her jurisdiction?
3. Is the lead State official with the primary responsibility the Adult Education and Family Literacy Act program represented on the SWDB?
4. Does the representative for the AEFLA program meet the requirement that the AEFLA representative may not serve as a representative of more than one program or interest (unique representation)?
5. Does the AEFLA representative meet the requirement that the representative must be an individual who has optimum policy making authority for the AEFLA program?
6. Is the lead State official with the primary responsibility the State Vocational Rehabilitation Services program represented on the SWDB?
7. Does the representative for the VR program meet the requirement that the VR representative may not serve as a representative of more than one program or interest (unique representation), except that where a single government agency is responsible for

multiple required programs, the head of the agency may represent each of the required programs?

8. Does the VR representative meet the requirement that the representative must be an individual who has optimum policy making authority for the VR program?

Qualitative Questions:

1. If any of the core programs are not represented, what steps are being taken to appoint missing core partner members?
2. Is the Temporary Assistance for Needy Families (TANF) program represented on the SWDB? If not, how are TANF interests being represented on the SWDB?

SWDB Functions

Qualitative Questions:

1. What role did the SWDB play in development of the State Plan and how will it be engaged in modifications moving forward?
2. Does the State have processes and/or procedures for issuing joint policy? If so, what joint policies has the State issued? What additional policies does the State Plan issue?
3. If joint policies are not issued, how are statewide strategies/operational goals disseminated across the core programs?
4. WIOA requires the SWDB to develop strategies for effectively serving individuals with barriers to employment and for coordinating programs and services among one-stop partners for these individuals. What progress has the State made in developing such strategies?
5. What coordination is occurring across core and mandatory partner programs to meet the needs of TANF and other recipients of public assistance (e.g., Supplemental Nutrition Assistance Program (SNAP))?
6. What strategies has the SWDB developed towards aligning technology and data systems across one-stop partner programs?
7. What other strategies has the State created for policy and programmatic alignment within the system?
8. Does the SWDB have plans to train core program staff? If so, what are they?
9. How is the SWDB approaching sector strategies?
10. Describe the career pathways strategies developed by the SWDB.

11. How is the SWDB doing against the goals set for itself in the State Plan?
12. Have partners been involved in one stop certification procedures? If so, what is the composition of the cross-agency partnership?

LWDB Membership

Compliance Section:

1. Does the LWDB have at least one eligible provider administering adult education and literacy activities under Title II of WIOA?
2. Does the LWDB have at least one representative from programs carried out under Title I of the Rehabilitation Act of 1973 (other than Section 112 or Part C of that title)?

Qualitative Questions:

1. How does the State ensure compliance with LWDB membership requirements?
2. Is there a TANF representative on LWDBs? If not, how are the needs of TANF recipients considered?

LWDB Functions

Qualitative Questions:

1. Was the local plan a collaborative effort, developed by the board in partnership with the chief elected official and consistent with Section 108 of WIOA?
2. Has the LWDB, in conjunction with the core and required partners and the chief elected official (CEO), developed and executed an MOU?
3. Does the MOU include negotiation of infrastructure costs of one-stop centers in the local area?
4. Has the LWDB developed coordinated strategies of core program service delivery efforts to employers, economic development entities and/or service providers, where appropriate?
5. Has the LWDB created strategies for developing and implementing career pathways?
6. How will, or how did, the LWDB coordinate with education and training providers to review applications to provide adult education and literacy activities under WIOA Title II in order to determine the applications' consistency with the local plan?

7. What is the LWDB's process for one-stop certification? How are the core partner programs involved? Does it include both comprehensive and affiliate American Job Centers (AJCs)?

Local Plan

Qualitative Questions:

1. Does the local plan describe how the LWDB will support the strategy identified in the State Plan, and work with the entities carrying out core programs and other workforce development programs, to support service alignment?
2. Does the local plan describe how the LWDB will coordinate WIOA Title I workforce investment activities with adult education and literacy activities under WIOA Title II, especially in the review of local applications submitted under Title II consistent with Sections 107(d)(11)(A) and (B)(i) and Section 232 of WIOA?
3. How are AJC customers connected to local community agencies for relevant supportive services?

Regional Plan

Qualitative Questions:

1. If regional plans are in place, how were partners engaged in those plans?

D. One-Stop Operations

The one-stop delivery system brings together workforce development, educational, and other human resource services in a seamless customer-focused service delivery network that enhances access to services and improves long-term employment outcomes for individuals receiving assistance. One-stop partners administer separately funded programs as a set of integrated streamlined services to customers. Some compliance sections in Core Activity 3 contain questions that a Federal partner may ask broadly of the State's workforce development system. For example, a Federal partner may ask its grantee, a SWDB, a LWDB or a one-stop operator, to speak to the State's system-wide implementation of requirements under WIOA. These questions are labeled "System-wide." On the other hand, a Federal partner may ask its grantee a question narrower in scope related to a specific partner program's implementation of requirements under WIOA in the State's workforce development system. These questions are labeled "Program-specific." When asking "Program-specific" questions, a Federal partner will account for the manner in which its grantee implements the program at the State and/or local level.

One-Stop Partner Roles and Responsibilities

Background Information

The one-stop delivery system brings together workforce development, educational, and other human resource services in a seamless customer-focused service delivery network that enhances access to the programs' services and improves long-term employment outcomes for individuals receiving assistance. Required one-stop partner programs must provide access to programs, services, and activities through electronic means if applicable and practicable. This is in addition to providing access to services through the mandatory comprehensive physical one-stop center and any affiliated sites or specialized centers.

Compliance Section:

1. System-wide: Are all of the required partners represented in the comprehensive AJCs across the State?
Program-specific: How is the required partner program represented in each of the comprehensive AJCs across the State?
2. System-wide: How does each required one-stop partner provide “access” to its programs or activities through the one-stop delivery system? Is it onsite, via cross training of partner staff, or via direct linkage?
Program-specific: How does the required partner program provide access to its program or activities through the one-stop delivery system? Is it onsite, via cross training of partner staff, or via direct linkage?
3. System-wide: Does the one-stop delivery system include affiliated sites or specialized AJCs?
Program-specific: Does the required partner program provide access to its services through any affiliated sites or specialized AJCs in the State?
4. For each affiliated site or specialized AJC in which the required partner program provides access to its services, is access to services provided onsite, via cross training of partner staff, or via direct linkage?
5. System-wide: How are career services provided in AJCs in the State?
Program-specific: Does the required partner program provide career services through AJCs in the State? What specific career services is the required partner program providing through AJCs?
6. System-wide: How are business services provided in AJCs in the State?
Program-specific: Does the required partner program provide business services through AJCs?
 - What types of business services are provided through AJCs?
 - Is a fee charged for the business services provided?
 - Has the required partner program established a written policy for charging a fee for business services?

7. Has the Governor determined that TANF will not be a required partner in the State?
8. Where the Governor has determined that TANF is not a required partner in the one-stop delivery system, has the Governor notified the Secretaries of the U.S. Departments of Labor and Health and Human Services in writing of this determination?
9. In States, or local areas within a State, where the Governor has determined that TANF is not required to be a partner, local TANF programs may still work in collaboration or partnership with the local one-stop centers to deliver employment and training services to the TANF population unless inconsistent with the Governor's direction.

Qualitative Questions:

1. Does the State maintain a list of the required one-stop partner programs in the State?
2. In States, or local areas within a State, where the Governor has determined that TANF is not required to be a partner, are local TANF programs working in collaboration or partnership with the local one-stop centers to deliver employment and training services to the TANF population so long as this work is not inconsistent with the Governor's direction?
3. Are TANF services co-located in the AJC? How are services aligned and coordinated with other AJC partners?
4. For AJCs where TANF is not co-located, how have AJC staff been cross-trained to assist/meet the needs of TANF clients that are employment ready?
5. How do the AJCs provide individuals with the opportunity to initiate an application for TANF benefits and services?
6. How are the career services that are available through TANF identified and accessed via the local one-stop delivery system?
7. How are TANF clients within 2 years of exhausting lifetime eligibility identified and prioritized for services?

Memoranda of Understanding

Background Information

The MOU must be updated not less than every three years to reflect any changes in the signatory official of the Board, one-stop partners, and chief elected officials, or one-stop infrastructure funding. WIOA emphasizes full and effective partnerships between LWDBs, chief elected officials, and one-stop partners. LWDBs and partners must enter into good-faith negotiations. LWDBs, chief elected officials, and one-stop partners may also request assistance from a State agency responsible for administering the partner program, the Governor, SWDB, or other appropriate parties on other aspects of the MOU. LWDBs and one-stop partners must establish, in the MOU, how they will fund the infrastructure costs and additional costs of the one-stop

centers. If agreement regarding infrastructure costs is not reached when other sections of the MOU are ready, an interim IFA may be included instead, as described in 34 C.F.R. § 361.715(c). Once agreement on infrastructure funding is reached, the LWDB and one-stop partners must amend the MOU to include the infrastructure funding of the one-stop centers. Infrastructure funding is described in detail in 34 C.F.R. §§ 361.700 through 361.760. The LWDB must report to the SWDB, Governor, and relevant State agency when MOU negotiations with one-stop partners have reached an impasse. The LWDB and partners must document the negotiations and efforts that have taken place in the MOU. The SWDB, one-stop partner programs, and the Governor may consult with the appropriate Federal agencies to address impasse situations related to issues other than infrastructure funding after attempting to address the impasse. Impasses related to infrastructure cost funding must be resolved using the State infrastructure cost funding mechanism described in 34 C.F.R. § 361.730. The LWDB must report failure to execute an MOU with a required partner to the Governor, SWDB, and the State agency responsible for administering the partner's program. Additionally, if the State cannot assist the LWDB in resolving the impasse, the Governor or the SWDB must report the failure to the Secretary of Labor and to the head of any other Federal agency with responsibility for oversight of a partner's program.

Compliance Section:

1. System-wide: Have the required and additional one-stop partners executed MOUs with each of the LWDBs in the State?
Program-specific: Has the required partner program executed an MOU with each LWDB in the State?
2. Do MOUs contain a description of services to be provided through the one-stop delivery system, including the manner in which the services will be coordinated and delivered through the system?
3. Do MOUs contain a one-stop operating budget identifying the costs of the services and the operating costs of the system? Does the MOU include:
 - An IFA for the infrastructure costs of one-stop centers in accordance with 20 C.F.R. §§ 678.700 through 678.755; and
 - Funding of additional costs, including career services and shared services and shared operating costs of the one-stop delivery system described in §678.760?
4. Do MOUs contain methods for referring individuals between the one-stop operators and partners for appropriate services and activities?
5. Do MOUs contain methods to ensure that the needs of workers, youth, and individuals with barriers to employment, including individuals with disabilities, are addressed in providing access to services, including access to technology and materials that are available through the one-stop delivery system?

6. Do MOUs contain assurances that each MOU will be reviewed, and if substantial changes have occurred, renewed, not less than once every three-year period to ensure appropriate funding and delivery of services?
7. Do MOUs outline the duration of the MOU and procedures for amending it?
8. Do MOUs contain any other provisions agreed to by the parties that are consistent with WIOA Title I, the authorizing statutes and regulations of one-stop partner programs, and the WIOA regulations?
9. Do MOUs contain the signatures of the—
 - LWDB Director;
 - Authorized representatives of One-stop partners; and
 - Chief elected official(s).
10. Do MOUs also contain the time period in which the agreement is effective?
11. Whether local areas used the Local funding mechanism to fund one-stop infrastructure costs, or the State-funding mechanism was triggered and implemented, do MOUs contain the following information related to infrastructure funding:
 - The period of time in which the IFA is effective. (This may be a different time period than the duration of the MOU.);
 - Identification of a one-stop operating budget, including infrastructure costs in the IFA and additional costs, which will be periodically reconciled against actual costs incurred and adjusted accordingly to ensure that it reflects a cost allocation methodology that demonstrates how infrastructure costs are charged to each partner in proportion to its use of the one-stop center and relative benefit received, and that complies with 2 C.F.R. part 200 (or any corresponding similar regulation or ruling);
 - Identification of all one-stop partners, chief elected officials, and LWDB participating in the infrastructure funding arrangement;
 - Steps the LWDB, chief elected officials, and one-stop partners used to reach consensus or an assurance that the local area followed the guidance for the State funding process;
 - Description of the process to be used among partners to resolve issues during the MOU duration period when consensus cannot be reached; and
 - Description of the periodic modification and review process to ensure equitable benefit among one-stop partners?
12. Do MOUs contain any additional costs agreed upon by the one-stop partners, including—
 - Applicable career services that must be included; and
 - Shared operating costs and shared services that may be included?

13. Did the LWDB, chief elected official, and all partners develop a single “umbrella” MOU or has the LWDB (with agreement of chief elected official) entered into separate agreements between each partner or groups of partners?
14. Did the LWDB, chief elected official, and all partners develop a single “umbrella” IFA or did they enter into separate IFAs between each partner or groups of partners?

Qualitative Questions:

1. To what extent have TANF partners been included in locally negotiated MOUs?
2. Is TANF providing funds to the LWDB beyond infrastructure costs? If so, how are the funds being used?

One-Stop Infrastructure Cost Funding

Compliance Section:

1. After consultation with chief elected officials, the SWDB, and LWDBs and consistent with guidance and policies provided by the SWDB, has the Governor developed and issued guidance for use by local areas?
2. Does the guidance specifically include the following:
 - Guidelines for State-administered one-stop partner programs for determining such programs' contributions to a one-stop delivery system, based on such programs' proportionate use of such system, and relative benefit received, consistent with Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) in 2 C.F.R. part 200, including determining funding for the costs of infrastructure; and
 - Guidance to assist LWDBs, chief elected officials, and one-stop partners in local areas in determining equitable and stable methods of funding the costs of infrastructure at one-stop centers based on proportionate use and relative benefit received, and consistent with Federal cost principles contained in the Uniform Guidance at 2 C.F.R. part 200?
3. Does the guidance contain the following:
 - The appropriate roles of the one-stop partner programs in identifying one-stop infrastructure costs;
 - Approaches to facilitate equitable and efficient cost allocation that results in a reasonable cost allocation methodology where infrastructure costs are charged to each partner based on its proportionate use of the one-stop centers and relative benefit received, consistent with Federal cost principles at 2 C.F.R. part 200; and
 - The timelines regarding notification to the Governor for not reaching local agreement and triggering the State funding mechanism described in 34 C.F.R.

§ 361.730, and timelines for a one-stop partner to submit an appeal in the State funding mechanism?

4. How many local areas in the State use the local funding mechanism to fund one-stop infrastructure costs?
 - If so, what funds were used to pay for one-stop infrastructure costs in the local funding mechanism?
5. Did any LWDBs, chief elected official(s), and one-stop partners fail to reach consensus on the funding of one-stop infrastructure costs in any of the local areas in the State?
 - If so, did the LWDB notify the Governor by the deadline established in the Governor's guidance?
 - Once notified, did the Governor administer funding through the State funding mechanism for the program year impacted by the local area's failure to reach consensus?
6. If initiated, did the State funding mechanism follow the requirements at §§678.730 through 678.738?
7. In determining the amount to be paid under the State funding mechanism, did the LWDB follow the steps outlined at 20 C.F.R. § 678.731(a) and (b)(1)?
8. Under the State funding mechanism, were budgets for one-stop infrastructure costs in local areas determined according to the requirements at 20 C.F.R. § 678.735?
9. After the appropriate budget was determined, did the Governor establish a cost allocation methodology for determining one-stop partners' proportionate shares of infrastructure costs under the State funding mechanism?
10. Did the Governor follow the steps outlined at 20 C.F.R. § 678.737?
11. Were Statewide caps on the contributions of one-stop infrastructure costs determined in accordance with 20 C.F.R. § 678.738?
12. If initiated, what funds were used to pay for one-stop infrastructure costs under the State funding mechanism?
13. Has the Governor established a process for one-stop partners to appeal the Governor's determination of one-stop infrastructure cost funding? Is this process outlined in the Unified State Plan?
14. Do one-stop partners use a portion of funds made available under their programs' authorizing Federal law (or fairly evaluated in-kind contributions) to pay the additional costs relating to the operation of the one-stop delivery system? (These other costs must

include applicable career services and may include other costs, including shared services and shared operating costs.)

Accessibility/One-Stop Certification

Background Information

LWDBs must assess at least once every three years the effectiveness, physical and programmatic accessibility, and continuous improvement of one-stop centers and the one-stop delivery systems using the criteria and procedures developed by the SWDB. The criteria must evaluate the one-stop centers and one-stop delivery system for effectiveness, including customer satisfaction, physical and programmatic accessibility, and continuous improvement.

Compliance Section:

1. Have the local area's one-stop centers and system been certified by the LWDB or SWDB in cases where the LWDB is the one-stop operator?
2. Does the required partner program play a role in verifying that AJCs are physically accessible to individuals with disabilities?
3. Does the required partner program have a role in verifying that AJCs are programmatically accessible to individuals with disabilities?
4. Does the required partner program have a role in ensuring the continuous improvement of AJCs? This includes—
 - How well the AJCs support the achievement of the negotiated local levels of performance for the indicators of performance for the local area;
 - A regular process for identifying and responding to technical assistance needs;
 - A regular system of continuing professional staff development; and
 - Having systems in place to capture and respond to specific customer feedback.
5. Does the required partner program have a role in evaluating the effectiveness of AJCs? This includes evaluating—
 - How well the AJCs integrate available services for participants and businesses;
 - How well the AJCs meet the workforce development needs of participants and the employment needs of local employers;
 - How well the AJCs coordinate services among the one-stop partner programs coordinates services among the one-stop partner programs; and
 - How well the AJCs ensure equal opportunity for individuals with disabilities to participate in or benefit from one-stop center services.
6. Does the local area use technology to maximize customer accessibility to services?

7. Do AJCs provide auxiliary aids and services, including assistive technology devices and services, where necessary to afford individuals with disabilities an equal opportunity to participate in programs and activities?
8. Does the required partner program maintain written procedures for filing grievances or complaints alleging violations of nondiscrimination and equal opportunity provisions?

Qualitative Questions:

1. What policies has the SWDB established for one-stop certification, for accessibility, effectiveness and continuous improvement?

Common Identifier

Background Information

The Departments established the “American Job Center” network, a unifying name and brand, which identifies online and in-person workforce development services as part of a single network of publicly-funded services. The one-stop delivery system must use either that common identifier as its name, or use the tag line phrase “a proud partner of the American Job Center network.” Either the plain text or one of the logos may be used. If a logo is used, it must be used in accordance with the guidelines contained in the Graphics Style Guide for Partners, and with the terms of use for the logos, all of which are available at [US Department of Labor](#). As of July 1, 2017, each one-stop delivery system must include the “American Job Center” identifier or “a proud partner of the American Job Center network” on all products, programs, activities, services, electronic resources, facilities, and related property and new materials used in the one-stop delivery system. One-stop partners, States, or local areas may use additional identifiers on their products, programs, activities, services, facilities, and related property and materials.

Compliance Section:

1. Is the one-stop delivery system using the common identifier as its name, or the tag line phrase “a proud partner of the American Job Center network?”
2. As a required partner, is the “American Job Center” identifier or the tag line “a proud partner of the American Job Center network” on all products, programs, activities, services, electronic resources, facilities, and related property and new materials used in the one-stop delivery system?

E. Performance Accountability

Section 116 of WIOA establishes performance accountability indicators and performance reporting requirements to assess the effectiveness of States and local areas in achieving positive outcomes for individuals served in the workforce development system. WIOA requires that these requirements apply across all six core programs, with a few exceptions.

The Federal partner programs recognize that significant effort to monitor State implementation of performance accountability requirements are contained in each partner program-specific monitoring processes (e.g., Focus Area III of the FFY 2019 MTAG). The following questions are not intended to duplicate those existing efforts; rather, they are designed to capture additional information related to the interaction of the core programs in carrying out performance requirements.

Performance Accountability

Qualitative Questions:

1. Do partners have regular meetings to discuss performance accountability issues? If so, describe. What are main concerns among partners regarding performance accountability?
2. Which approaches to collecting data on the “Effectiveness in Serving Employers” did the State choose?
3. Did the State add a State-specific Effectiveness in Serving Employers approach? If so, describe.
4. Did the core programs come to agreement on which Federal approaches to use and how to establish expected level of performance? If so, describe.
5. Which office has been designated to lead the collection and reporting of the data for the shared outcome?
6. Is the State working towards establishing a unique identification number to be retained by the same individual across multiple programs?
7. Describe progress in developing a mechanism to track co-enrollment across programs to comply with 20 C.F.R. § 677.160 performance reporting requirements.
8. If States have established additional performance indicators for the six core programs, describe the additional indicators and application across programs.

Data Sharing and Matching

Compliance Section:

1. Is the State, consistent with State law, using quarterly wage record information in measuring its performance of its core programs on the primary indicators of performance?

Qualitative Questions:

1. Has the Governor designated a State agency to assist core agency in carrying out performance reporting related to facilitating data matches, data quality reliability, and protection against disaggregation that would violate privacy provisions?
2. If the Governor did not designate an agency, how is the Governor meeting these regulatory provisions?
3. Have the agencies entered into appropriate a data sharing agreements to allow for sharing data related to performance reporting?
4. Are all partner programs participating in the interstate data exchange?
5. Is the State allowing the use of supplemental wage data for verifying performance outcomes? Is the policy the same for all core programs?
6. How are the partner programs accessing and integrating supplemental wage data into its performance calculations?
7. What progress has the State made toward the creation of information technology solutions such as data system interfaces?
8. Does the State have any mechanisms to monitor performance across core partners to identify performance issues that may affect the State's ability to meet its performance targets?